



# RECORDS RETENTION SCHEDULE



Prepared by  
**STATE RECORDS BRANCH**  
Public Records Division  
Kentucky Department for Libraries and Archives

# RECORDS RETENTION SCHEDULE

## Signature Page

Transportation Cabinet  
Agency

March 13, 2008  
Schedule Date

DEPARTMENT OF AVIATION  
Unit

Change Date

March 13, 2008  
Date Approved By Commission

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### APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

[Signature]  
Agency Head

17 Mar 08  
Date of Approval

[Signature]  
Agency Records Officer

17 Mar 08  
Date of Approval

[Signature]  
State Archivist and Records Administrator  
Director, Public Records Division

13 March 08  
Date of Approval

[Signature]  
Chairman, State Archives and Records Commission

13 Mar 08  
Date of Approval

\*\*\*\*\*  
The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:

[Signature]  
Records Analyst/Regional Administrator

13 MAR 08  
Date of Approval

[Signature]  
Appraisal Archivist

March 13, 2008  
Date of Approval

[Signature]  
State/Local Records Branch Manager

13 Mar 08  
Date of Approval

\*\*\*\*\*  
The determination as set forth meets with my approval.

[Signature]  
Auditor of Public Accounts

March 13, 2008  
Date of Approval

STATE AGENCY RECORDS  
RETENTION SCHEDULE

Transportation Cabinet  
Aviation, Department of

Series	Records Title		Contents	Retention		
	and Description	Function and Use		Disposition Instruction		
01717	State Flight Report File	This series documents the approval of requests for use of state-owned aircraft, per KRS 36.420, and all pertinent flight information created when air travel is used as a means of transportation. This series incorporates closed Series 01718, Passenger Manifest File.	Series contains: State flight report card; Aircraft number, pilot-in-command, co-pilot, flight plan closed, agency, stops in order, arrival and departure times, flight number, departure date, return date, fuel onboard, passenger's first and last name. Request for use of State-owned or State-chartered aircraft; Agency, division, requester, telephone number, flight date, departure time, destination, purpose of travel, stops in order, reasons for stops, passenger manifest, authorized agency signature, flight number and aircraft number.	Agency: 9  Destroy	Records Center:	Archives Center:
01718	Passenger Manifest File Closed Date: 3/13/2008	CLOSED SERIES: This series documented the names of all passengers onboard a specific flight. The Federal Aviation Administration (FAA) requires that a passenger manifest be completed and maintained for all flights (14 CFR 121.693). Series incorporated into series 01717, State Flight Record File	Series contains: Passenger's first and last name.	Agency: P  Retain in Agency	Records Center:	Archives Center:
05740	Kentucky Airport System Plan and Individual Airport Master Plans File	This series documents efforts at preserving and improving all state public-use airports. The Kentucky Airport System Plan (KASP) provides the framework for preservation and improvement to meet current and future aviation needs. KASP is used to review the number, location and type of facilities required to serve the state over time and forecast the cost of improvements to meet future demand. The Airport Master Plan provides direction for a specific airport to meet future demands, while preserving the flexibility necessary to respond to changing industry conditions. The Master Plan also defines the purpose of and need for future improvements, as well as insuring that all development will comply with all applicable state and federal requirements while ensuring appropriate and compatible land use.	Series contains: The state's airport system plan: purpose and scope. Each airport's classification and roles. Current and future commercial, military and general aviation activity. Total aircraft operations, economic benefits of aviation, recommended modifications, recommended plan, cost estimates, funding of improvements and environmental consequences.	Agency: P  Retain in Agency	Records Center:	Archives Center:



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Aviation, Department of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
05742	Applications and Permits on Construction or Alteration to Existing Structures File	This series documents the application process for a building or alteration permit by the owner or person who has control over a structure that penetrates, will penetrate, or will otherwise encroach on the airspace over which the Kentucky Airport Zoning Commission has jurisdiction. KRS 183.867 specifies that the Commission has zoning jurisdiction for all public use and military airports. 602 KAR 50:030 defines the airspace jurisdiction as airspace over and around the public use and military airports within the Commonwealth which lies above the imaginary surface that extends outward and upward at one of the following slopes: 1) 100 to one for a horizontal distance of 20,000 feet from the nearest point of the nearest runway of each public use and military airport with at least one runway 3,200 feet, or more in length; or 2) Fifty to one for a horizontal distance of 10,000 feet from the nearest point of the nearest runway of each public use and military airport with its longest runway less than 3,200 feet in actual length.	Series contains: Applications and permits for planned new construction, planned alterations of existing structures and related correspondence.	Agency: P	Records Center:	Archives Center:
				Retain in Agency		
05743	Applications for and Certificates of Public Convenience and Necessity File Closed Date: 3/13/2008	CLOSED SERIES: Information unavailable	Information unavailable.	Agency: P	Records Center:	Archives Center:
				Retain in Agency		
05744	Airport and Heliport Inspection File	This series documents the inspections of airports and heliports state-wide, per KRS 183.090. Airport facility inspections are periodically conducted to ensure the safety and adequacy of facilities. An airport may have its certificate of approval, or license, temporarily or permanently revoked when it is determined that the airport or other navigational facility is not being maintained or used in accordance with statute.	Series contains: Inspection reports, action related documents and inspection related correspondence.	Agency: P	Records Center:	Archives Center:
				Retain in Agency		
05745	Airport Development Loan Fund Applications File	This series documents the application process by local airports for proposed construction projects funded by grants from the Airport Development Loan Fund (KRS 183.200). Each year the state allocates funding for airport development, expansion and improvements. These funds are made available to local airports via loan grants outlined in KRS 183.200 to 183.213.	This series contains: Applications, proposed construction specifications, estimated costs and related correspondence.	Agency: P	Records Center:	Archives Center:
				Retain in Agency		
05746	Charter Permits and Applications File	This series documents the application and approval process of permits for charter flights originating at the Capital City Airport.	This series contains: Application, permit number, name of applicant, contact information for applicant, fees paid and relating correspondence.	Agency: P	Records Center:	Archives Center:
				Retain in Agency		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Aviation, Department of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
05747	Specifications and Contracts on Construction Projects File	This series documents the specifications and contracts for construction projects funded by grants from the Airport Development Loan Fund (KRS 183.200). Each year the state allocates funding for airport development, expansion and improvements. These funds are made available to local airports via grants outlined by KRS 183.200 to 183.213.	This series contains: Contracts, construction specifications, payment history, invoices and related correspondence.	Agency: P	Records Center:	Archives Center:
				Retain in Agency		
05749	Airport and Heliport Construction "As Built" Plans File	This series documents construction projects requiring "as built" plans. The project consultant is required to submit "as built" plans to the Department of Aviation after the project is completed. These plans denote any additions, deletions and/or any changes made to the original design documents.	This series contains: Contracts, construction specifications, payment history, invoices and related correspondence.	Agency: P	Records Center:	Archives Center:
				Retain in Agency		
05750	Zoning Maps File	This series documents the legal responsibilities of owners of existing, or planned public use and military airports and the regulatory oversight by the Airport Zoning Commission regarding jurisdiction over land issues. KRS 183.867 grants authority to the commission regarding zoning for public use and military airports. 602 KAR 50:050 provide procedures for the adoption and revision of airport zoning maps for existing and planned public use and military airports. Every owner of an existing, or planned public use and military airport in the state shall file with the administrator of the Kentucky Airport Zoning Commission a map showing the airport and the area surrounding the airport used for approach and landing purposes, or the owner shall file an airport master plan.	Series contains: Kentucky Airport Maps.	Agency: P	Records Center:	Archives Center:
				Retain in Agency		
05751	Landing Area Designations File	This series documents that airport facilities meet criteria set out in 602 KAR 20:020, as it relates to KRS 183.090. An airport facility found to meet requirements after airport inspections shall be issued a landing area designation by the Transportation Cabinet. Landing designations are valid for a period of twelve (12) months from the original issue date.	This series contains specific airport facility inspection records and other related documents.	Agency: P	Records Center:	Archives Center:
				Retain in Agency		

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## *Electronic System With Included Records Series*

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**Cabinet Name:** Transportation Cabinet

**Department Name:** Department of Aviation

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**System Title:** Airport Information Management System

**Alternate Title:** AIMS

**System Description:** This database supports Aeronautical Studies for the Department of Aviation, Kentucky Airport Zoning Commission. Kentucky law requires that all structures built on or near a public airport must be approved by the Kentucky Airport Zoning Commission. (KRS 183.861)

**System Contents:** Zoning permits, contact information, construction/alteration statuses, inspection data, geospatial data. Input records: application information for zoning permits, application determination status, facility table, county table, Area Development District Table, KYTC authorization number, contact information. Output: correspondence, reports, geospatial mapping, operational, maintenance and statistical reports. Examples: Study letters, labels for studies, address labels, approval letters, conditional approval letters, denial letters, construction/alteration status report to be filled in by applicant when structure is completed, deferral letters, project payment history, contact listing and fiscal year reports.

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<i>Series #:</i>	<i>Series Title:</i>	<i>Disposition Instructions:</i>	<i>Total Retention:</i>
05740	Kentucky Airport System Plan and Individual Airport Master Plans File	Retain in Agency	P
05742	Applications and Permits on Construction or Alteration to Existing Structures File	Retain in Agency	P
05744	Airport and Heliport Inspection File	Retain in Agency	P
05745	Airport Development Loan Fund Applications File	Retain in Agency	P
05747	Specifications and Contracts on Construction Projects File	Retain in Agency	P
05749	Airport and Heliport Construction "As Built" Plans File	Retain in Agency	P
05750	Zoning Maps File	Retain in Agency	P
05751	Landing Area Designations File	Retain in Agency	P

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**STATE ARCHIVES AND RECORDS COMMISSION**  
**Public Records Division**  
**Kentucky Department for Libraries and Archives**

**Schedule Date:** April 01, 1981

**STATE AGENCY RECORDS  
RETENTION SCHEDULE**

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title		Contents	Retention		
	and Description	Function and Use		Disposition Instruction		
663	Budget Payroll Analysis - (Computer Printout) (Issued by request)			Agency: 10	Records Center:	Archives Center:
				Destroy		
675	Program Evaluation Report - (Printout R0875, R0876 and R0906) (six month evaluation)			Agency: 5	Records Center:	Archives Center:
				Destroy		
636	10-40 Insurance Listing - (Rosters)			Agency: 2	Records Center:	Archives Center:
				Destroy		
640	Daily Time Roster and TD31-396 Report - (Duplicate) - (Division of Accounts copy)			Agency: 2	Records Center:	Archives Center:
				Destroy		
641	T-101 Payroll Books		Listing of cleared payment vouchers	Agency: 2	Records Center:	Archives Center:
				Destroy		
642	Check Register - State Treasurer		List of checks by name, number and net amount	Agency: 1	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
646	Housetrailer and Truck Permits (Un-issued) For Central Office and Districts			Agency: 1	Records Center:	Archives Center:
				Shred after one year (not issued in that time), or destroy after audit		
647	Housetrailer and Truck Permits - Issued by the Transportation Cabinet		Includes application for special permit, house trailer and special permit payment receipt and annual permit to haul house trailer or boat	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
655	Rural Secondary Allocations - (Computer report by fiscal year)			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
657	Advice of Allotments - (From Finance and Administration Cabinet, Budget Division)			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
658	Road Fund Revenue Estimates			Agency: 20	Records Center:	Archives Center:
				Destroy		
659	Budget Status Report - (June) - (Monthly Printout)			Agency: 20	Records Center:	Archives Center:
				Destroy		
660	Annual Audit Report - (Reference Copy)			Agency: 15	Records Center:	Archives Center:
				Destroy		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
631	Year-To-Date Leave Listing - (Issued quarterly)			Agency: 3	Records Center: 3	Archives Center:
				Transfer to the State Records Center		
662	Payroll and Equipment Usage Overhead Percentages - (January and June Issues)			Agency: 10	Records Center:	Archives Center:
				Destroy		
630	Payroll Supplemental History Listing			Agency: 3	Records Center: 3	Archives Center:
				Transfer to the State Records Center		
664	Position Control and Payroll Costs - (January and June Issues)			Agency: 10	Records Center:	Archives Center:
				Destroy		
665	Completed Budget Breakdown Folder		The original copies of this document, filed by account numbers and supplemented by the supporting director's breakdown documents and other papers	Agency: 8	Records Center:	Archives Center:
				Destroy		
666	Completed Director's Breakdowns - (Duplicate)			Agency: 8	Records Center:	Archives Center:
				Destroy		
667	Completed Spending Program		Justification of Director's budget breakdowns submitted for engineering accounts	Agency: 8	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
686	Personnel Strength Report - (Monthly Printout)			Agency: 2	Records Center:	Archives Center:
				Destroy		
685	Position Control and Payroll Cost - (Monthly Printout)			Agency: 3	Records Center:	Archives Center:
				Destroy		
684	Budget Status Report - (July - May) - (Monthly Printout)			Agency: 4	Records Center:	Archives Center:
				Destroy		
683	Official Order Books - (Duplicate)			Agency: 5	Records Center:	Archives Center:
				Destroy		
682	Personnel Strength Report - (January and June Issue)			Agency: 5	Records Center:	Archives Center:
				Destroy		
681	Transaction Register #8010 - (June) - (Monthly Printout)			Agency: 5	Records Center:	Archives Center:
				Destroy		
680	Object Change Log - (Yearly)			Agency: 5	Records Center:	Archives Center:
				Destroy		
678	Budget Recap Report - (June)			Agency: 5	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
676	County Cost by Program - (Printout R0871)			Agency: 5	Records Center:	Archives Center:
				Destroy		
661	Advice of Allotment - (Yearly Computer Printout)		Budget totals and accumulation of the new year budget allotment as reported on budget breakdown sheets	Agency: 15	Records Center:	Archives Center:
				Destroy		
600	Fund Participation Runs - (By fiscal year)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
615	Inter-Account Vouchers		Vouchers charging the Department and crediting other agencies	Agency:	Records Center:	Archives Center:
				Destroy after audit		
625	Payroll - (Daily Report of Time and Equipment Usage) - (D31-396) - (For Central Office)			Agency: 3	Records Center: 3	Archives Center:
				Transfer to the State Records Center		
624	Payroll Detail Listing			Agency: 6	Records Center:	Archives Center:
				Destroy		
622	Payroll Balance Sheet - (Control Log) -		Includes bond refunds, redeposit sheets and FICA refunds	Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
618	Payroll Detail Listing			Agency: 3	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
616	Cost Distribution Sheet - (D31-102) - (Document providing information for distribution cost by account, object, county and project number)			Agency: 3	Records Center:	Archives Center:
				Destroy		
609	Disbursement Ledgers (Machine Listing) On All Parkways			Agency: 1	Records Center:	Archives Center:
				Destroy		
608	Traffic and Revenue Report - (Monthly) - (Deposits and bank statement (daily folders) on the various parkways)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
607	Toll Road (Monthly) Runs - (Combination of daily and monthly cash summary, daily and monthly cash analysis, monthly traffic and axle analysis and fuel tax revenue (Data processing printout giving total number of vehicles and axles, revenue and non-revenue count))			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
606	General Ledger - (Parkways)			Agency: 1	Records Center:	Archives Center:
				Destroy after redemption of bonds		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
605	General Journal - (Parkways)			Agency: 1	Records Center:	Archives Center:
				Destroy after redemption of bonds		
604	Disbursement Ledgers - (Manual book listing)			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
633	Labor and Equipment Usage Listing			Agency: 5	Records Center:	Archives Center:
				Destroy		
601	Non-Contract Runs - (By fiscal year)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
677	Completed Budget Analysis - (June) - (Monthly Printout)			Agency: 5	Records Center:	Archives Center:
				Destroy		
599	Bond Fund and State Road Fund Runs - (Data Processing Printout)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
598	Fund Participation Material and Billings Combined in Summary Folders			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
594	General and Subsidiary Tabulation Ledger Runs - (Finance receipts and expenditures included)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
593	Revenue Refund and "J" Vouchers (Journal or Credit Vouchers) - (Inter-Account vouchers charging other agencies and crediting the Department)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
592	State Road Fund (Quarterly) Financial Statements - (Operating statements)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
590	Construction and Maintenance Agreements - (Duplicate) - (Includes bridges)			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
589	Rural Secondary Force Account Project Record - Active and Completed Projects - (By County)			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
588	Rural Secondary and County Road Accounts - (Duplicate) - (Annual allocations and accounts)			Agency: 1	Records Center:	Archives Center:
Destroy when no longer useful						
587	State Road Fund General and Subsidiary Ledger - Reconciliation and Work Sheets			Agency: 1	Records Center:	Archives Center:
Destroy when no longer useful						
626	Supplemental Report of Time and Equipment Usage - (TD31-5)			Agency: 3	Records Center: 3	Archives Center:
Transfer to the State Records Center						
627	Employee Labor Data Listing			Agency: 3	Records Center: 3	Archives Center:
Transfer to the State Records Center						
628	Supplemental Secondary Data Listing			Agency: 3	Records Center: 3	Archives Center:
Transfer to the State Records Center						
629	Computer Payroll Listing - (Regular and supplementals)			Agency: 3	Records Center: 3	Archives Center:
Transfer to the State Records Center						

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
602	Billing of Other Government Agencies and Outside Vendors for Services Rendered - (Work sheets and receipts)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
580.6	Encumbrance and Requisition - (Monthly) - (Computer Printout) Change Date: 12/1/1981			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
586	State Road Fund Financial Statements (Operating Statements)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
679	Payroll and Equipment Overhead Percentages - (June) - (Monthly Printout)			Agency: 5	Records Center:	Archives Center:
				Destroy		
585	General and Subsidiary Receipt and Expense Ledgers			Agency: 10	Records Center:	Archives Center: P
				Transfer to the State Records Center		
584	Distribution of Emergency Operation Cost to Equipment			Agency: 2	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
578	Detail Listing by Project			Agency: 10	Records Center:	Archives Center:
				Destroy after audit		
577	Federal Aid Concurrent Billing			Agency: 10	Records Center:	Archives Center:
				Destroy after audit		
583	Equipment Operation Cost Runs - (Yearly) - (Division of Accounts copy)			Agency: 5	Records Center:	Archives Center:
				Destroy after audit		
582	Gasoline and Equipment Listings and Reports (By state number and rental) Change Date: 12/1/1981		May include gas and oil summaries, monthly garage repair orders, monthly equipment repair costs, book value and liquidation listing equipment transfers, new and junked equipment, semi- monthly report of pooled equipment, equipment gas and oil usage	Agency: 2	Records Center:	Archives Center:
				Destroy after audit		
581	Equipment Operation Cost Listing - (Yearly)			Agency: 10	Records Center:	Archives Center:
				Destroy after audit		
580	Material Laboratory Testing Data		Backup reports for the distribution of state and federal funds	Agency: 3	Records Center:	Archives Center:
				Destroy		
579	Detail Listing by Commodity			Agency: 5	Records Center:	Archives Center:
				Destroy after audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
576	Federal Project Status Report - (PR329)			Agency: 10	Records Center:	Archives Center:
				Destroy after audit		
674	Encumbrance Carry Forward - (Computer Printout)			Agency: 5	Records Center:	Archives Center:
				Destroy		
580.7	Correspondence and Informational Data Regarding Contractor's Claims and Liens - (Originated by Legal Division) Change Date: 12/1/1981			Agency: 4	Records Center:	Archives Center:
				Destroy		
603	Turnpike Requisitions for the Turnpike Authority of Kentucky Change Date: 6/8/1989	This series, a bi-monthly requisition for payment, is used to bill the Turnpike Authority for all costs incurred by the Transportation Cabinet during construction of any Turnpike Authority project. Under the provisions of KRS 177.390 through 177.570, the Transportation Cabinet is charged with constructing all turnpike projects, meaning highways or superhighways and includes all bridges, tunnels, overpasses, underpasses, interchanges, entrance plazas, approaches, connecting highways, tollhouses, service stations, garages, restaurants, and administration, storage, and other buildings which Trans. deems necessary for the operation of the project. The Turnpike Authority of Kentucky is responsible for all costs involved in completing said project including the cost of construction, the cost of acquiring all lands involved, demolition or removal of any interfering buildings, the employment of consulting engineers, attorneys, accountants, construction or financial experts, managers, and other employees necessary. The Turnpike Authority reimburses Transportation for said costs from bond proceeds and interest earnings on the investment of such proceeds. In addition, auditors use these requisitions to verify receipts for construction.	Series contains: Total costs incurred since previous billing, copies of contractors' billings, engineering costs, administrative costs, legal costs, construction costs, and any other costs incurred during construction of project	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
580.5	Account Control Ledger Change Date: 12/1/1981		Includes overhead, garage stock and labor; garage equipment and machinery; new road equipment; lots and buildings; office and engineering equipment	Agency: 2	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
580.4	Maintenance Cost Statements - Annual (By sub-ledger and commodity) Change Date: 12/1/1981			Agency: 12	Records Center:	Archives Center:
				Destroy after audit		
580.3	Project Accounting Detail Listing - (Yearly county cost run by sub-ledger) Change Date: 12/1/1981			Agency: 10	Records Center:	Archives Center:
				Destroy after audit		
580.2	Project Accounting Detail Listing - (Yearly county cost run by county) Change Date: 12/1/1981			Agency: 10	Records Center:	Archives Center:
				Destroy after audit		
580.1	General and Subsidiary Transaction Register - (8010 Original) (Monthly) Change Date: 12/1/1981			Agency: 1	Records Center:	Archives Center:
				Destroy fiscal and calendar year end registers after five years and audit. Destroy remaining ten registers after one year		
694	Pending Contingent Transactions		Weekly printout reporting postings in contingency field that have not cleared the balance column of last 8010 run	Agency: 1	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
693	Input Error Listing - (Corresponding to 8010 runs) - (Computer printout)			Agency: 1	Records Center:	Archives Center:
				Destroy		
692	Object Changes - (In- house control document)			Agency: 1	Records Center:	Archives Center:
				Destroy		
691	Transaction Register #8010 - - (July - May) - (Monthly Printout)			Agency: 1	Records Center:	Archives Center:
				Destroy		
690	Payroll and Equipment Overhead Percentages - (July - May) - (Monthly Printout)			Agency: 2	Records Center:	Archives Center:
				Destroy		
689	Budget Recap Report - (July - May) - (Monthly Printout)			Agency: 2	Records Center:	Archives Center:
				Destroy		
688	Completed Budget Analysis - (July - May) - (Monthly Printout)			Agency: 2	Records Center:	Archives Center:
				Destroy		
591	State Road Fund Journal Vouchers - (Operating Statements)			Agency:	Records Center:	Archives Center:
				Destroy after audit		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
580.8	CH Contract Books Change Date: 12/1/1981		Includes record of professional services; highway construction; consulting engineering and equipment rental; copies of county highway contracts issued by the Department, with payment record posted; copy of agreement attached to equipment rental	Agency: 12	Records Center:	Archives Center:
				Destroy		
673	Municipal Aid Allocations - (Computer Printout) - (R0082, R0575 and R0102)			Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
668	Completed Operations Spending Programs - (Duplicate)			Agency: 8	Records Center:	Archives Center:
				Destroy		
672	County Road Aid Allocation - (Computer report by fiscal year)			Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
671	State Construction Account Reports			Agency: 5	Records Center:	Archives Center:
				Destroy		
670	Completed Budget Changes			Agency: 8	Records Center:	Archives Center:
				Destroy		
669	District and Division Budget Working Materials			Agency: 8	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of  
Accounts

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
574	State Project Files - (For list of documents included in this file see Division of Construction)			Agency: I	Records Center:	Archives Center:
				Screen and destroy duplicate materials when files received from divisions of origin. Destroy merged file three years after final voucher submitted to Federal Highway Administration, and audit		
573	Federal Aid Project File - (For list of documents included in this file see Division of Construction)			Agency: I	Records Center:	Archives Center:
				Screen and destroy duplicate materials when files received from divisions of origin. Destroy merged file three years after final voucher submitted to Federal Highway Administration, and audit.		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of  
Accounts, Division of

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04615	Departmental Pay Voucher File - (Series provides supporting documentation for payments authorized) Change Date: 9/19/1996	The series documents the payment of obligations owed by various units with the Transportation Cabinet. The voucher acts as an authorization for payment. All pay vouchers, with the exception of those documenting imprest cash funds, are sent to the Division of Accounts, Finance and Administration Cabinet, for processing. The series contains supporting documentation for departmental purchases, property and equipment rental, imprest cash, contractor's pay estimates, right-of-way acquisitions, appraisals, utility adjustments. These supporting documents substantiate payment, purchase order or requisition, notice of award of contract, authorization for payment, vendor's invoice and cost distribution. In 1987, the Finance and Administration Cabinet delegated to the Transportation Cabinet pre-audit responsibilities. This means that the Transportation Cabinet must retain all supporting documentation for a period equal to that of the Finance Cabinet, which is eight years.	Series contains: In addition to supporting pay documentation, the series contains vendor name and number, address, amount to be paid, invoice number, detail of item or service purchased, and accounting cost information.	Agency: 2	Records Center: 6	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
04242	Bond Project Files - (State highway projects paid for through bond sales) Change Date: 3/11/1993	This series was created to document the accounting activities associated with state highway construction and utility relocation projects that are paid for through the use of monies acquired from the sale of bonds. It represents the Cabinet's financial record of how the bond monies have been spent and for which projects. The series is established when the contract for the highway construction or utility relocation project is approved by the Transportation Cabinet and the funds from the sale of the bonds have been released to the Cabinet by the Turnpike Authority. Information regarding the amount of expenditures against bond funds is sent in summarized form to the Turnpike Authority on a monthly basis for monitoring purposes. Multiple projects are currently being paid for from monies acquired through the Economic Development Bond sale and the Resource Recovery Bond sale. NOTE: This series was previously listed on the records retention schedule as Series 575, Toll Road Project Files.	Series contains: Original highway construction or utility relocation contract; change orders; copy of each payment made; related correspondence	Agency: 1	Records Center: 5	Archives Center:
				Transfer to the State Records Center after project closure. Destroy after audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of  
Audits

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
806	Monthly Traffic and Revenue Statements			Agency: 5	Records Center: 35	Archives Center:
Transfer to the State Records Center						
03981	Internal Audit Working File - (Audit of areas within cabinet impacted by receipt of federal funds) Change Date: 6/13/1991	This series is created when an audit of internal areas within the Cabinet that are impacted by receipt of federal funds is initiated. Examples of such areas are: Right of Way, Construction, and Financial Management. Periodic audits are required by the Federal Highway Administration and are initiated at the request of top management within the Transportation Cabinet. The audits are usually compliance or procedural in nature, rather than financial. Once completed, the audits are sent to the Commissioner of the Department of Fiscal Management who, in turn, transmits them to the affected area within the Cabinet. The affected party must respond to the audit recommendations within 60 days of receipt. The recommendations made in the Audit Report do not have to be accepted. The audited area can recommend its own corrective action. However, if the problems identified in the audit go unresolved, it could result in a review by the Federal Highway Administration. Such a review could then result in the loss of federal funds. *Reference rate is higher during third to fifth year because previous files are used when conducting current audits.	Series contains: Audit request, comments, assignment; summary of work performed; specific work performed; schedule of payments; time sheets; preliminary draft of audit report; duplicate of final audit report; and related correspondence	Agency: 1	Records Center:	Archives Center:
Destroy six years after issuance of final Audit Report (F0005)						
03978	Consultant Contracts Working File (C) KRS 61.878 (1) (a) Financial data of third party Change Date: 6/13/1991	This series is created when an audit of a consultant firm under contract with the Transportation Cabinet is initiated. It supports the conclusions and recommendations found in the final Audit Report (F0005). The Federal Highway Administration requires that the Cabinet audit each consultant proposal in excess of \$50,000 to ensure compliance with the terms of each contract. At its discretion, the Cabinet may audit any other proposals it deems necessary. Consultants may be hired by the Cabinet to design roads and bridges, to do construction engineering, or to complete archaeological surveys. Audits of the contracts are to ensure that federal funds are appropriately used. If a firm disagrees with the final audit report, it can request review of the findings by the Audit Review Committee, which is comprised of the Commissioner, Department of Fiscal Management, the Assistant Highway Engineer for Pre-Construction, and the Executive Director, Division of Budgets. If the firm disagrees with the findings of the Committee, it may appeal to the Circuit Court.	Series contains: Audit request, comments, assignment; summary of work performed; specific work performed; schedule of payments; time sheets; preliminary draft of audit report; duplicate of final audit report; and related correspondence.	Agency: 1	Records Center: 3	Archives Center:
Transfer to the State Records Center three years after issuance of final Audit Report (F0005)						

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of  
Audits

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03979	Mass Transportation Working File Change Date: 6/13/1991	Under the Federal Single Audit Act, the Cabinet is required to review audits, completed by independent auditors, of organizations which receive federal and/or state transportation funds. This series documents that review process. An example of an organization which would be subject to audit review would be an Area Development District (ADD). The Cabinet's review of these external audits is to ensure that the independent audit report is in compliance with federal regulations for use of either state or federal transportation funds. Unless exceptions are noted, the independent audits will suffice for all federal agencies which have contributed funds to the organization. If the organization disagrees with the findings contained in the final audit report, it can request review by the Audit Review Committee. That Committee is comprised of the Commissioner, Department of Fiscal Management, the Assistant Highway Engineer for Pre-Construction, and the Executive Director, Division of Budgets. If unresolved at that level, the organization may appeal to Circuit Court.	Series contains: Audit request, comments, assignment; summary of work performed; specific work performed; schedule of payments; time sheets; preliminary draft of audit report; duplicate of final audit report; and related correspondence.	Agency: I	Records Center: 3	Archives Center:
				Transfer to the State Records Center three years after audit review is completed		
03977	Railroad Relocation Working File (C) KRS 61.878 (1) (a) Financial data of third party Change Date: 6/13/1991	This series is created when an audit of a railroad company under contract with the Transportation Cabinet to relocate railroad lines is initiated. It supports the conclusions and recommendations found in the final Audit Report (F0005). Relocation of railroad lines is sometimes necessary due to highway construction. In such cases, the Cabinet contracts with the respective railroad company to complete relocation of the line. The Federal Highway Administration then requires that the Cabinet conduct periodic audits of the companies involved in relocation to ensure that the terms of the contracts have been met. If a company disagrees with the final audit report, it can request review of the findings by the Audit Review Committee, which is comprised of the Commissioner, Department of Fiscal Management, the Assistant Highway Engineer for Pre-Construction, and the Executive Director, Division of Budgets. If the company disagrees with the decision rendered by the Audit Review Committee, it can appeal to the Circuit Court.	Series contains: Audit request, comments, assignment; summary of work performed; specific work performed; schedule of payments; time sheets; preliminary draft of audit report; duplicate of final audit report; and related correspondence.	Agency: I	Records Center: 3	Archives Center:
				Transfer to the State Records Center three years after issuance of final Audit Report (F0005)		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of  
Audits

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03983	U-Drive-It Working File - Change Date: 6/13/1991	This series is created when an audit of a holder of a U-Drive-It permit is begun, as required in KRS 138.463. The term U-Drive-It, as defined in KRS 281.014, means "any person who leases or rents a motor vehicle for a consideration to be used for transportation of persons or property, but for which no driver is furnished, and the use of which motor vehicle is not for the transportation of persons or property for hire by the lessee or rentee." In lieu of paying taxes at the time of purchase of the vehicle, the holder of a permit to operate a U-Drive-It must pay a usage tax of 6% levied upon the amount of the gross rental or lease charges paid by the customer each month. Tax returns are submitted and amounts remitted to the Division of Motor Carriers on a monthly basis. The receipts of each permit holder are reviewed on an ongoing basis by the Branch to determine if correct tax amounts have been paid. If the amount of tax computed by the Cabinet is greater than the amount returned by the taxpayer, the excess shall be assessed by the Cabinet within four years from the date the return was filed. There are approximately 700 active permit holders operating in Kentucky. Audits are conducted on-site every four years, regardless of where the business may be located. If audit findings are disputed, the company can request a Tax Conference through the Division of Motor Carriers. If the dispute cannot be resolved at that level, the company may request a review by the Board of Tax Appeals. All disputes not resolved by the Board may be appealed to Circuit Court.	Series contains: Monthly tax return information obtained from individual permit holders; summary of work performed; specific work performed; work schedules; time sheets; preliminary drafts of audit reports; preliminary recommendations; duplicate of final audit report; and related correspondence	Agency: I	Records Center:	Archives Center:
03982	Motor Fuel Tax Working File - (Includes Audit Report) Change Date: 6/13/1991	This series is created when an audit of a company which operates motor vehicles on Kentucky highways is initiated. Pursuant to KRS 138.660 - 138.680, every motor carrier, excluding charter bus operators, must pay a surtax on the amount of gasoline and special fuels used in operations on the public highways of Kentucky and, where applicable, a weight distance tax. Companies must submit a quarterly tax return and remit amounts due to the Division of Motor Carriers. The tax returns (Series 70) are then transmitted to the Motor Carriers Branch for use in its audits. Upon completion of the audit, tax returns are returned to the Division of Motor Carriers for final disposition. Of the approximately 30,000 carriers, 1,000 are audited each audit period, usually every three years. The larger companies, such as Ryder, Consolidated Freight, J.B. Hunt, UPS, Kroger, receive an on-site audit. For smaller companies, a desk audit will usually suffice. If audit findings are disputed, the company can request a Tax Conference through the Division of Motor Carriers. If the dispute cannot be resolved at that level, the company may appeal to the Board of Tax Appeals. All disputes not resolved by the Board are appealable to the Circuit Court. *Reference rate is highest after third year because previous audit information is used when completing current one.	Series contains: Tax information on individual Kentucky Use licensees, previous audit information, and supporting documentation for current audit period	Agency: I	Records Center:	Archives Center:



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of  
Audits

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03980	Miscellaneous Audit Working File (C) KRS 61.878 (1) (a) Financial data of third party Change Date: 6/13/1991	This series is created when a miscellaneous audit is undertaken by the External Audit Branch. A miscellaneous audit is one initiated at the request of a division within the Transportation Cabinet which has contracts or agreements with a third party. These audits are considered miscellaneous because they do not fall within any of the other audit categories of the branch. They are completed only upon request. The purpose of the audits is to ensure that the third party has complied with the terms of the contract or agreement. The third party may request a review of audit findings to the Audit Review Committee, which is comprised of the Commissioner, Department of Fiscal Management, The Assistant Highway Engineer for Pre-Construction, and the Executive Director, Division of Budgets. The last level of appeal is to the Circuit Court.	Series contains: Audit request, comments, assignment; summary of work performed; specific work performed; schedule of payments; time sheets; preliminary draft of audit report; duplicate of final audit report; and related correspondence.	Agency: 1	Records Center: 3	Archives Center:
				Transfer to the State Records Center three years after issuance of final Audit Report (F0005)		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of  
Audits, Division of

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03976	Utility Relocation Working File (C) KRS 61.878 (1) (a) Financial data of third party Change Date: 6/13/1991	This series is created when an audit of a utility company under contract with the Transportation Cabinet to relocate telephone, water or electric lines is initiated. It supports the conclusions and recommendations found in the final Audit Report (F0005). Relocation of utilities is often necessary due to highway construction. In such cases, the Cabinet contracts with the respective company to complete the relocation of the utility. The Federal Highway Administration then requires that the Cabinet conduct periodic audits of companies which have completed contracts for utility relocation to ensure that the terms of the contracts have been met. If a company disagrees with the final audit report, it can request review of the findings by the Audit Review Committee, which is comprised of the Commissioner, Department of Fiscal Management, the Assistant Highway Engineer for Pre-Construction, and the Executive Director, Division of Budgets. If the company disagrees with the decision rendered by the Audit Review Committee, it can appeal to the Circuit Court.	Series contains: Audit request, comments, assignment; summary of work performed; specific work performed; schedule of payments; time sheets; preliminary drafts of audit reports; duplicate of final audit report; and related correspondence	Agency: I	Records Center: 3	Archives Center:
				Transfer to the State Records Center three years after issuance of final Audit Report (F0005)		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of  
Purchases

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
775	Analysis of Expenditures - (Monthly) - (Printout)			Agency: 3	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
781	General and Subsidiary Ledger Transaction Register - (8010 Run)			Agency: 1	Records Center:	Archives Center:
				Destroy		
766	Transportation Purchase Contracts - (TCT)			Agency: 3	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
780	Vendor Correspondence - (May contain agreements)			Agency: 3	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
778	Request for Purchase			Agency: 3	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
777	Request for Disposal of Equipment			Agency: 3	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
776	Availability of Funds - (Monthly) - (Printout)			Agency: 3	Records Center: 4	Archives Center:
				Transfer to the State Records Center		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of  
Purchases

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
774	Advice of Emergency Purchase			Agency: 3	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
773	Transportation Purchase Order (TP)			Agency: 3	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
772	Purchase Requisition			Agency: 3	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
771	Advice of Change			Agency: 3	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
770	Transportation Purchase Contract - (Requisition cross-reference ledger)			Agency: 7	Records Center:	Archives Center:
				Destroy after audit		
769	Rural Highway, Rural Secondary, and Maintenance Registers - (Central office requisition register)			Agency: 7	Records Center:	Archives Center:
				Destroy after audit		
767	Transportation Purchase Order Register Ledger			Agency: 7	Records Center:	Archives Center:
				Destroy after audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of  
Purchases

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
765	Complete TCT Bid File - (Requisition, invitation, vendor's bids, tabulation, contract)			Agency: 3	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
764	Price Contract			Agency: 1	Records Center:	Archives Center:
				Destroy when obsolete		
763	State Gasoline Credit Cards Files - (Original) - (Identifies holder of card and how long in holder's possession)			Agency: 1	Records Center:	Archives Center:
				Destroy card when vehicle is retired. Destroy file after retirement of vehicle		
768	Transportation Purchase Contract and Requisition Register Ledger			Agency: 7	Records Center:	Archives Center:
				Destroy after audit		
779	Requisition			Agency: 3	Records Center: 4	Archives Center:
				Transfer to the State Records Center		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Budget and Fiscal Management, Office of  
Toll Facilities

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
821	Toll Charge Transaction Register			Agency: 1	Records Center:	Archives Center:
				Destroy		
820	Toll Lane Register Sheets			Agency: 1	Records Center:	Archives Center:
				Destroy		
816	Sixty Day Work Schedule - (TD34- 70)			Agency: 1	Records Center:	Archives Center:
				Destroy		
818	Vehicle Reports - Class "9"			Agency: 1	Records Center:	Archives Center:
				Destroy		
819	P3407 - P3226 Reports and Corrections - (TRIMS Printouts) Administrative Change Date: 3/1/1996 To change title of record (V)	This series provides information needed to balance toll road traffic and revenue data in order to generate a monthly traffic and revenue statement (Series 806). The P3226 report is a detailed toll collection date report and is compared to the P3407 report, which is a series of reports containing credit card and bank information. This allows the division to compare the actual versus the observed, and serves as a "checks and balances" system in developing their monthly traffic and revenue statements. This series was previously titled, "Error Listings, Corrections, and Edit Sheets - Computer Printout."	Series contain: Recorded and actual information on vehicles, revenue, charge amounts, cash and bank deposit daily totals, and credit card and bank information	Agency: 1	Records Center:	Archives Center:
				Destroy		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Governmental Relations, Department of  
Rural and Municipal Aid

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04040	County Road Series Maps - (Duplicate) Change Date: 9/12/1991	This map series is created by the Department and is used to determine county road names and numbers in preparation for the initiation of maintenance, reconstruction or repair projects. Also, as requests for future projects are received by the Secretary's Office, this series is consulted to verify the type of road (blacktop, gravel, etc.) under consideration and who it is maintained by, i.e., county or state. The series also aids the Department in determining the legality of using state funds for the project being considered. Periodic updates to the series will occur after significant changes in the county's road systems have taken place.	Series contains: Topographic maps contain road names, numbers and location within a given county	Agency: I	Records Center:	Archives Center:
				Destroy outdated map(s) when revised one(s) is created		
04041	County Road Series Map Inventory File Change Date: 9/12/1991	This series is used to create the County Road Series Maps (Series 04040) for each of the state's 120 counties. New county maps will be created from the inventories about every ten years. To complete the inventories, staff, along with someone designated by the County Judge Executive, travel all roads maintained by the county recording the type of road (blacktop, gravel, dirt), its location, length and name. Layouts of the road are then completed for use in creating the updated map.	Series contains: Series contains individual inventory sheets, topographic maps of the county, maps of incorporated cities within the counties, any previous maps of the counties, and correspondence with the County Judge Executive	Agency: I	Records Center:	Archives Center:
				Destroy after creation of updated county map		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Governmental Relations, Department of  
Rural and Secondary Roads, Office of

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03060	County Road Aid Cooperative Program File - (Original) - (Contains agreement and/or contract) Change Date: 9/12/1991	This series documents the agreements entered into between counties and the Department for the receipt of County Road Aid Funds. Under the terms of KRS 179.400 -179.415, approximately 18.3% of the motor fuel taxes collected by the state are allocated to the Fund, which was established to provide revenues for the maintenance, construction and reconstruction of county roads and bridges. The series is used to plan, monitor and regulate the use of these revenues for rural projects undertaken during the fiscal year. On July 1st of each year, the Department makes available to counties participating in the Cooperative Program its percentage of projected revenues for the year. Participation in the Cooperative Program is voluntary; however, if the county elects not to participate, it will receive its funds from the Department of Local Government on a monthly basis, rather than July 1st of each fiscal year from the Transportation Cabinet. By participating in the Program, the county will receive its allocation more timely and will be able to complete road and bridge work during peak months. If revenue projections are higher than anticipated, the Department will distribute any remaining funds to the counties at the end of the fiscal year.	Series contains: Agreement between county and department; itemized bill; correspondence with County Judge Executive; copy of project authorization; and modifications to agreement, if applicable	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
03061	Municipal Road Aid Cooperative Program File - (Original) - (Contains agreement and/or contract) Change Date: 9/12/1991	This series documents the agreements entered into between cities and the Department for the receipt of Municipal Aid Funds. In accordance to KRS 177.365 - 177.369, approximately 7.7% of the motor fuel taxes collected by the state are allocated to the Fund, which was established to provide revenues for the maintenance, construction and reconstruction of city roads and bridges. The series is used to plan, monitor and regulate the use of these revenues for city projects undertaken during the fiscal year. On July 1st of each year, the Department makes available to cities and unincorporated urban areas participating in the Cooperative Program its percentage of projected revenues for the year. Participation in the Program is voluntary; however, if the city elects not to participate, it will receive its funds from the Finance and Administration Cabinet on a monthly basis, rather than July 1st of each year from the Transportation Cabinet. By participating in the program, the city will receive its allocation more timely and will be able to complete road and bridge work during peak months. If revenue projections are higher than anticipated, the Department will distribute any remaining funds to the cities at the end of the fiscal year.	Series contains: Agreement between city and department; itemized bill; correspondence with Mayor; copy of project authorization; and modifications to agreement, if applicable	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Governmental Relations, Department of  
Rural and Secondary Roads, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
03059	Rural Secondary Project File Change Date: 9/12/1991	This series documents the Rural Secondary Program projects approved by the Cabinet which provide for the continued maintenance, construction and reconstruction of the State's rural secondary road system, as well as may provide assistance in the construction, reconstruction and repair of county roads and bridges. In addition, the series provides supporting documentation for the expenditure of funds during a fiscal year from the Rural Secondary Program. Distribution of the funds to the counties does not automatically occur, but is controlled by the Cabinet through its approval of projects undertaken.	Series contains: Description and location of project; estimated costs; project authorizations; inspection reports; county map of project location; request for uniform project number; modifications to project; and correspondence.	Agency: 1	Records Center:	Archives Center:
				Destroy three years after close of project, and audit		
03058	Rural Secondary Program File - (Original) - (Duplicate in Commissioner's Office) Change Date: 9/12/1991	This series documents the projects proposed under the Rural Secondary Program and is used by the Department to establish priorities for the distribution of available funds to counties during a fiscal year. Under the terms of KRS 177.320 - 177.360, 22.2% of the motor fuel tax revenues collected by the state are to be used for the construction, reconstruction and maintenance of rural and secondary roads, which may include county roads and city streets. Each fiscal year, the Department, through its district offices, consults with the county fiscal courts for the purpose of receiving recommendations for the selection of rural and secondary road or bridge projects. Each proposed project is reviewed by the Commissioner of the Department who then forwards recommendations to the Cabinet Secretary for final approval. The Cabinet has sole responsibility for the distribution of Program funds to counties based on its selection of projects.	Series contains: Record of district meetings with fiscal courts and interested citizens regarding recommendations for projects; project consideration list; project recommendations of the fiscal court or concerned citizens; estimated project costs; project authorization and amendments; copies of press releases; and project agreements	Agency: 5	Records Center:	Archives Center:
				Destroy		
03062	County Judge Executive Administrative Expense File - (Activity is now the responsibility of the Division of Accounts) Closed Date: 1/1/1991 Change Date: 9/12/1991	Closed Series: This series documents the authorization of the fee paid to County Judge Executives for operating the County Road Aid Program. Basically, the fee reimburses the County Judge Executives for expenses incurred in determining the status of road and bridge conditions. As of January 1991, the Department ceased to have responsibility for authorizing the payments. Payments are now made by the Division of Accounts through the Cabinet's normal payroll process.	Series contains: Authorization for payment; disbursement voucher; vendor file maintenance; and copies of pay vouchers	Agency: 5	Records Center:	Archives Center:
				Destroy after audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Assistant State Highway Engineer for Operations

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
360	Disaster and Emergency Relief File - (Duplicate) - (Retained as back-up for audit)		Correspondence and monetary information on funds expended	Agency: 1	Records Center:	Archives Center:
				Destroy after audit and when no longer useful		
369	Resurfacing Program - (Duplicate) - (Letters, reports, plats)			Agency: 3	Records Center:	Archives Center:
				Destroy		
381	Force Accounts Project - Monthly Report			Agency: 1	Records Center:	Archives Center:
				Destroy		
382	Accomplishments Report - Monthly			Agency: 1	Records Center:	Archives Center:
				Destroy		
376	County Crew Quotas - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy		
373	Rest Areas Report - (Duplicate)			Agency: 3	Records Center:	Archives Center:
				Destroy		
372	Road Embankment Dams - Inspection Report - (Duplicate)			Agency: 3	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Assistant State Highway Engineer for Operations

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
371	Bridge Maintenance Report - (Duplicate)			Agency: 3	Records Center:	Archives Center:
				Destroy		
370	Winter Damage Report - (Duplicate)			Agency: 3	Records Center:	Archives Center:
				Destroy		
368	Rural Secondary Program - (Duplicate) - (Project forms and approvals)			Agency: 3	Records Center:	Archives Center:
				Destroy		
367	Disaster and Emergency Relief - (Duplicate) - (Retained as back-up for audit)		Correspondence involving funds expended	Agency: 1	Records Center:	Archives Center:
				Destroy after audit of original file		
366	Traffic Research Board Report- (TRB 3C03) - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy when obsolete		
365	Special Provisions - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy when obsolete		
361	Highway Reclassification Recommendations			Agency: 1	Records Center:	Archives Center:
				Destroy when published in Administrative Regulations		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Assistant State Highway Engineer for Operations

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
377	Contracts - (Duplicate) - (Maintenance, traffic, and toll road)			Agency: 1	Records Center:	Archives Center:
				Destroy		
359	Bridge Agreements - (Other than toll)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
358	Inter-State Toll Ferry and Bridge Agreements			Agency: P	Records Center:	Archives Center:
				Retain in agency		
383	Pipe Requisitions - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy		
364	Federal Programs			Agency: I	Records Center:	Archives Center:
				Destroy after program phase-out		
375	Approved School Flashers & Signal Installations - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy		
379	Equal Employment Opportunity File - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy		
380	Conservation of Energy File - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Assistant State Highway Engineer for Operations

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
378	Recycle Program Report			Agency: 1	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Assistant State Highway Engineer for Pre-Construction

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
190	Photogrammetry File			Agency: 5	Records Center: 15	Archives Center:
				Transfer to the State Records Center		
197	Route Studies File			Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
196	Federal Highway Administration			Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
195	Corps of Engineers File			Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
194	Appalachian File			Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
192	Parkways File (Toll Roads)			Agency: 5	Records Center: 15	Archives Center:
				Transfer to the State Records Center		
189	Bridge File			Agency: 5	Records Center: 15	Archives Center:
				Transfer to the State Records Center		
198	Interstate General File			Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Assistant State Highway Engineer for Pre-Construction

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
199	Highway Research Reports			Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
188	Design File			Agency: 5	Records Center: 15	Archives Center:
				Transfer to the State Records Center		
191	Right of Way File			Agency: 5	Records Center: 15	Archives Center:
				Transfer to the State Records Center		
193	Parkway Reports			Agency: 5	Records Center: 15	Archives Center:
				Transfer to the State Records Center		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Bridges

Records Title		Retention	Disposition Instruction	
Series	and Description		Function and Use	Contents
255	Bridge Photographs	Agency: P	Records Center:	Archives Center:
Retain in agency				
256	Inactive Drainage Folders - (Surveys of proposed project not worked)	Agency: P	Records Center:	Archives Center:
Retain in agency				
254	Bridge Design and Shop Plans	Agency: P	Records Center:	Archives Center:
Retain in agency				
267	Bid Letting File - (Duplicate) -	Agency: 5	Records Center:	Archives Center:
May include unit tab of bids, contract or estimate, division of bridges estimate, notice to contractors, data for letting				
Destroy				
253	Original Shop Detail Plans - (Returned from Steel Fabricating Company and filed with original bridge design plans) NOTE: Blueprint is retained when original is not available	Agency: I	Records Center: P	Archives Center:
Transfer to the State Records Center when construction project is completed				
264	Situation Survey - (Final situation survey dry bridge)	Agency: I	Records Center: 15	Archives Center:
Transfer to the State Records Center one year after construction project completion				

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Bridges

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
251	Bridge Design Plans - (Original) - (Microfilm copy retained in agency)			Agency: I	Records Center: P	Archives Center:
				Transfer to the State Records Center when construction project is completed		
266	Maintenance and Reconstruction Files		May include bridge painting completion records calculations, correspondence pertaining to repair and maintenance	Agency: I	Records Center:	Archives Center:
				Destroy when bridge is permanently closed or replaced, or when no longer		
248	Structure Plans			Agency: P	Records Center:	Archives Center:
				Retain in agency		
268	Bid Letting Plans - (Duplicate)			Agency: 5	Records Center:	Archives Center:
				Destroy		
252	Bridge Rating File			Agency: P	Records Center:	Archives Center:
				Retain in agency		
258	Bridge Index - (TD66-154)			Agency: P	Records Center:	Archives Center:
				Retain in agency		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Bridges

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03987	Bridge Standard Drawings Closed Date: 1/1/1950 Change Date: 6/13/1991 (V)	Closed Series: This series was created to provide the Division with a model to be followed in the planning of structural items associated with bridge construction, such as reinforced concrete deck girder bridges, steel truss spans, reinforced concrete culverts, and bridge handrails. The standards were developed as a way to simplify the plan development process and to serve as a basis for actual construction of the various items. Although the series is no longer used in the construction of bridges, it is required when the structural items based on the standards are repaired or rehabilitated. Some of the series has been filmed in an aperture card format for in-house reference purposes. The original drawings are retained, however, to provide exact scale details. In 1983, the Division began using Computer Aided Design and Drafting (CAD) to create standards now used in bridge design and construction.	Series contains: Piers; standard steel beams (I-beams); standard culverts; revised culvert standards; simple reinforced concrete deck units; old steel trusses; abutments; handrails; continuous RCDG spans; old simple RCDG; miscellaneous: concrete and steel piles; and timber and bent caps	Agency: I	Records Center: P	Archives Center:
				Transfer to the State Records Center		
261	Bridge Construction Project Files		May include bridge division estimate, final inspection report, change orders, correspondence with district or contractor	Agency: I	Records Center: 15	Archives Center:
				Transfer to the State Records Center one year after project completion		
260	Shop Detail Plans - (Duplicate) - (Blueprint copies of steel fabricating company plans)			Agency: I	Records Center:	Archives Center:
				Destroy after receipt of original plans		
262	Engineering Consultant File		May include reports, correspondence and studies	Agency: I	Records Center: 15	Archives Center:
				Transfer to the State Records Center one year after project completion		
259	Bridge Division Annual Reports Data			Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		
263	Consultant Agreements		May include copy of agreement, change orders, estimates of consultant engineers fee determination	Agency: I	Records Center:	Archives Center:
				Destroy one year after project completion, and audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Bridges

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
257	Calculation Files - (Design computations on bridge structures)			Agency: I	Records Center: P	Archives Center:
				Transfer to the State Records Center		
265	Drainage Folders	Final situation survey for culverts and "wet" bridges	Description of drainage area, drainage calculations	Agency: I	Records Center:	Archives Center:
				Transfer to Division of Design, Drainage Section when construction project is completed		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Construction

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04799	Radiographic Film and Ultrasonic Report File - (Documents proof of compliance with construction specifications) Change Date: 12/10/1998 (V)	This series documents compliance with construction project specifications related to bridge and steel fabrication. It was created to provide quality assurance documentation. Radiographic film represents an x-ray of the weld of steel beams used in bridge construction. In particular, x-rays are used for fracture-critical structures. Such structures are constructed to a higher standard and must have immediate corrective action taken, should a beam fail. Ultrasound represents another method of viewing a steel weld. Audits are generally completed during the life of the projects.	Series contains: X-rays, ultrasonic reports, beam designation, weld tested, date, by whom	Agency: I	Records Center:	Archives Center:
				Destroy after final state voucher is paid		
04796	Cross-Section and Structure Sheet File - (Documents amount of earth work associated with a project) Change Date: 12/10/1998 (V)	This series documents the amount of earth work (grades, drains, etc.) associated with a construction project. The structure sheets show the amount of dirt and rock removed from a site in order to build a structure, such as a bridge or culvert. The cross-sections show the depth and width of rock and dirt removed from the site, in order to complete the project. Series reflects the plan of the project, as it was built. It is also used to verify that all materials costs have been paid by the Department for Highways, in compliance with contract plans and specifications. Audits are generally completed during the life of the projects. *Not all projects involve earth work.	Series contains: Project plan sheets, pipe sheets, structure sheets (drawings of actual structure), bridge plans and drawings	Agency: I	Records Center:	Archives Center:
				Transfer to the State Records Center after final state voucher is paid		
04794	Project Plan File - (Represents design copy of proposed construction, for use in bid proceedings) Change Date: 12/10/1998	This series represents the design copy of proposed construction projects and is used in bid proceedings. It reflects the idea of what the design of the project should be. After the bid process is completed and a contract for construction awarded, the series is used to document original project plans. The proposed plans are completed by the Division of Design. *Dependent on number of projects.	Series contains: Series contains blueprints of original project design	Agency: I	Records Center:	Archives Center:
				Destroy after final state voucher is paid		
04798	Field Packet File - Major Grade and Drain Construction Projects - (Includes field books, daily inspection reports, and weigh sheets) Change Date: 12/10/1998 (V)	This series documents required information used to verify pay quantities for major construction projects. Projects may be either state funded or federally funded. It contains all records needed to comply with contract plans and specifications, such as inspector reports, which reflect what transpired on a daily basis at a construction site and that specific quantities were used in the amount and manner required. The series documents weighed quantities, such as surface materials (rock and base). Audits are generally completed during the life of the projects. *Reference is daily, until final checking is completed.	Series contains: Field books, daily inspection reports, and weigh sheets	Agency: I	Records Center:	Archives Center:
				Destroy state funded projects three years after final state voucher is paid. Destroy federally funded projects three years after final federal voucher is paid		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Construction

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04800	Shop Drawings for Bridge Construction - (Duplicate) - (Original maintained by the Division of Bridges) Change Date: 12/10/1998	This series documents the drawings used to build steel and concrete beams for bridge construction. It is used by inspectors inspecting the fabrication of the beams to ensure they are built to contract specifications. A permanent record of all plans is retained by the Division of Bridges. Audits are generally completed during the life of the projects.	Series contains: Drawings and designs	Agency: I	Records Center:	Archives Center:
				Destroy after final state voucher is paid		
04793	Construction Project File - (Includes state funded and federally funded projects) Change Date: 12/10/1998 (V)	This series documents non-federal and federal construction projects. Projects can include new highway construction, reconstruction, maintenance and bridge construction. It is used to monitor all activities associated with the various projects. Audits are generally conducted during the life of the projects. After projects are completed and final state vouchers have been paid, series is transferred to the Division of Accounts. The Division of Accounts destroys duplicate records and merges the remainder into the official Construction File (series 573, Federal Aid Project File, and series 574, State Project Files, Division of Accounts). The series are destroyed after three years and audit.	Series contains: Subcontracting data; laboratory test reports; advisement of date work began; date contract completed; federal highway inspection reports; resident engineer reports; final construction inspection reports; piling records for bridge construction; construction permits; calculations and pencil drawings; mill test reports; fabrication inspector's reports; bid documents; change orders; and related correspondence	Agency: I	Records Center:	Archives Center:
				Transfer to the Division of Accounts, after final state voucher is paid. NOTE: The Division of Accounts maintains the official record, which is destroyed after three years and audit		
04795	As-Built Plan and Profile File - (Documents plans related to projects that involve earth work) Change Date: 12/10/1998 (V)	This series documents plans related to construction projects that involve earth work; for example, grades and drains; bridge construction; and structure replacements such as culverts. It represents "as-built" construction and documents all pay quantities, i.e., all materials used on a project. The series is used to verify that the cost of all pay quantities (materials) has been paid to the contractor by the Department of Highways, in compliance with contract plans and specifications. Audits are generally completed during the life of the projects. Original transparent "as-built" plans are received from the project engineer and forwarded to the Division of Design, after final pay quantities have been checked. The plans are microfilmed and retained permanently by the Division of Design. *Reference depends on the length of time required to final check projects, usually about thirty days.	Series contains: Project plan sheets	Agency: I	Records Center:	Archives Center:
				Transfer to the Division of Design after verification of all pay quantities. NOTE: The Division of Design retains all "as-built" plans permanently		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Construction

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04797	Kentucky Contractor Pay Estimate System - (Electronic) Change Date: 12/10/1998	This system was created to document all material quantities paid to a contractor, by the Department for Highways. All pay estimates are processed electronically, regardless of the type of project. For non-plan projects, the Division receives a disk from the respective District that is used to process the pay quantities. Non-plan projects are projects such as surface work, mowing, tree trimming, guardrail replacement, bridge deck overlays, etc.	Series contains: Project code number, pay quantities, date pay quantities entered, and supporting dates (from bid letting to formal acceptance), county, district	Agency: I	Records Center:	Archives Center:
				Delete entries after final state voucher is paid		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Contract Procurement

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
348	Engineer's Wage and Hour Report			Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center after audit		
347	Professional Service Contracts			Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center after audit		
337	Resident Engineer's Report - (TD14-312)			Agency: 1	Records Center:	Archives Center:
				Transfer to Division of Accounts when project is completed, as part of Project File		
338	Periodic and Special Division Reports - (Includes status of active contracts; list of qualified contractors)			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
343	Contract Container Jacket		Contains quick reference information pertaining to contract	Agency: 15	Records Center:	Archives Center:
				Destroy		
04141	Bid Advertising File - (Newspaper releases in appropriate county) Change Date: 6/18/1992	This series documents the department's public notice of the invitation for bids for construction projects. Notices regarding bid openings are advertised in a newspaper of general circulation and in the newspaper of the county where the project will be undertaken. Federal highway construction projects must be advertised three weeks prior to bid opening and state projects seven days prior to bid opening. In addition to public advertising, notices of the invitation to bid are mailed to a select number of individual contractors appearing on the department's list of pre-qualified vendors. The audit of the series is related to adherence to bid advertising standards.	Series contains: Correspondence to newspapers, invoices for payment of advertisement and copies of the actual newspaper ad	Agency: 5	Records Center:	Archives Center:
				Destroy after audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Contract Procurement

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
342	Compliance Review Form			Agency: 1	Records Center:	Archives Center:
				Destroy three years after completion of contract, and audit		
341	Equal Employment Opportunity File - (By contractor)			Agency: 1	Records Center:	Archives Center:
				Destroy three years after completion of contract and audit		
340	Prequalified Contractors List - (Prepared annually)			Agency: 1	Records Center:	Archives Center:
				Destroy when superseded		
339	Power of Attorney			Agency: 1	Records Center:	Archives Center:
				Destroy when obsolete		
346	Utility Agreements			Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center after audit		
349	Highway Projects Wage Rate Certification File		Rates certified by federal agencies and the Kentucky Labor Cabinet)	Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
04140	Unsuccessful Bid Proposals - (Bid proposals submitted by contractors for award of project) Change Date: 6/18/1992	This series documents the original bids of all unsuccessful bidders for highway construction projects. The series provides information about unsuccessful bids which can be purchased from the Division by contractors to aid them in bidding other projects. It may also be of value if the bid process is called into question by individual contractors.	Series contains: Information contained in the series includes special notes, special provisions, wage rates, insurance requirements, federal notes, bid items, certification sheets and bond forms, project location, contractor's name	Agency: 5	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Contract Procurement

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
345	Contractor's Qualification File (C) KRS 176		May include articles of incorporation; partnership agreements; application for and certification of eligibility	Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
335	Contracts Executed - (Record of each contract entered into in each county by fiscal year)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
336	Project Contract Folder Change Date: 12/1/1981			Agency: I	Records Center:	Archives Center:
				Transfer to Division of Accounts when final voucher submitted		
351	Correspondence with Contractors			Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
04139	Bid Letting Data Files Change Date: 6/18/1992	This series documents the proposals used to develop bid packages for highway construction projects. The bid package is developed from draft proposals submitted by the Division of Design. The completed bid package is then sold, at a cost of \$8.00 per package, to interested suppliers or contractors approximately two to three weeks prior to bid date. After bid closure, the bids are tabulated and the results are given to the department's Awards Committee. The Committee, comprised of the State Highway Engineer, two assistant highway engineers and the director, Division of Bridges, makes the final decision regarding bid award. The audit of the series is related to collection of money for sale of bid packages and adherence to bid advertising standards.	Series contains: Notice to contractors, which contains a list of all projects advertised for bid; official orders authorizing bid opening; quantity sheets, which list the bid items for each project; bid tabulations, computer listing of bid results; proposal sales, order blanks and project listings for each proposal sold; specimen proposals, copies of bid document; and related correspondence	Agency: 7	Records Center:	Archives Center:
				Destroy after audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Contract Procurement

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04247	Certified Transcript of Weekly Labor Payroll Administrative Change Date: 3/1/1993 (To change disposition)	This series documents the weekly payrolls of contractors working on federally-funded highway construction projects. The payrolls are submitted to the Division for audit purposes, and to ensure that highway contractors are complying with state and federal labor regulations. Specifically, the audits are completed to ensure compliance with prevailing wage laws and wage requirements as set forth in the contract. Division staff conduct on-site evaluations and interviews with workers to verify that prevailing wages are actually being paid. If a discrepancy is noted, Division staff correspond with the contractor advising him of the discrepancy and that corrective action is required. If corrective action is not taken, payments to the contractor can be withheld, bidding privileges can be suspended, or debarment from bidding can occur. The final decision regarding such actions is made by the contracting officer and the Director, Division of Contract Procurement. The submission of payrolls resulting from state-funded projects to the Division was discontinued in 1982. These payrolls are now audited on-site. NOTE: The series is referenced after creation only if an employee makes a complaint to the Division regarding wages, or if evidence is needed to substantiate wage earnings.	Series contains: Hours worked each week; rates of pay; fringe benefits; deductions; and net pay for employees working on highway constructions projects	Agency: 1	Records Center:	Archives Center:
				Destroy three years after completion of project, and audit		
354	Process Agent's File		Assumes out-of-state contractor's obligation in case of default	Agency: 5	Records Center:	Archives Center:
				Destroy		
350	Wage Complaints			Agency: 5	Records Center: 5	Archives Center:
				Transfer to the State Records Center		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Deputy State Highway Engineer

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
180	Multi-Modal Files		May include air, ground, mass transit, rail, and water	Agency: 2	Records Center:	Archives Center:
				Destroy		
175	Research Subject Files			Agency: P	Records Center:	Archives Center:
				Retain in agency		
174	Research Project Files			Agency: P	Records Center:	Archives Center:
				Retain in agency		
183	Area Development File			Agency: 1	Records Center:	Archives Center:
				Destroy		
181	Federal Files - Appalachian Regional Commission			Agency: 2	Records Center:	Archives Center:
				Destroy		
179	County Files			Agency: 5	Records Center:	Archives Center:
				Destroy		
178	Special Provisions			Agency: P	Records Center:	Archives Center:
				Retain in agency		
176	Research Manufacturers and Distributors			Agency: P	Records Center:	Archives Center:
				Retain in agency		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Deputy State Highway Engineer

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
182	Associations File			Agency: 1	Records Center:	Archives Center:
				Destroy		
177	Specifications			Agency: P	Records Center:	Archives Center:
				Retain in agency		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Design

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04071	Highway Safety Grant Application File Change Date: 12/12/1991	This series documents the Cabinet's application for and receipt of Highway Safety Grant funds. The funds are received by the Department of State Police, Highway Safety Standards Branch, on an annual basis from the National Highway Traffic Safety Administration (NHTSA) and the Federal Highway Administration. The purpose of the funding assistance is to address the areas, such as motorcycle safety, police traffic services, emergency medical services, and pedestrian safety, which have maximum probability of reducing death and injury on the highways. The Transportation Cabinet periodically makes application to the Department of State Police to receive funds to conduct Geometric Design, Highway Capacity, and Traffic and Transportation Engineering workshops for the purpose of instructing engineers and others in the design and construction of safer highways.	Series contains: Grant Application, Progress Reports, Attendance Reports, Personal Services Contract Documents, Contracts Between Participating School and Cabinet, Confirmation Letters, Correspondence	Agency: I	Records Center:	Archives Center:
				Destroy five years after grant closure, and audit		
04077	Railway-Highway Project Files Change Date: 12/12/1991 (V)	This series was created to document highway construction or reconstruction activities which encroach on right of ways owned by railway companies. It provides official documentation of the purchase of railway right of ways by the Cabinet, easement agreements, and contracts with railway companies to permit the construction of highway projects. In addition, it documents railroad crossing safety projects undertaken to improve current safety measures. On average, 30-35 such projects are completed each year. Creation of the series begins after the construction plans have been approved by the Division of Design and the funding authority to begin negotiations with the railway company has been established by the Division of Accounts.	Series contains: Project authorization, correspondence, records of negotiation, cost estimates, easement agreements, deeds, final acceptance of the project by the Federal Highway Administration, inspection reports, audit reports, fiscal documents, contract agreements	Agency: I	Records Center: 17	Archives Center:
				Transfer to the State Records Center three years after completion of project, and audit		
212	County Project Correspondence			Agency: 10	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
486	Project Files of Highway Classifications and Needs Studies		Includes correspondence, traffic studies, inventory of all systems	Agency: 1	Records Center:	Archives Center:
				Destroy five years after completion		
543	County Road Aid Contract Files - (Duplicate) -		Agreements, correspondence and project data	Agency: 5	Records Center:	Archives Center:
				Destroy		
542	County Road Aid General File		Correspondence not pertaining to specific projects	Agency: 5	Records Center:	Archives Center:
				Destroy		
500	Right of Way Deeds - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy three years after completion of project or receipt of copy of As-Built Plans		
499	Right of Way Project Plans			Agency: 1	Records Center:	Archives Center:
				Destroy three years after completion of project or receipt of copy of As-Built Plans		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
498	Right of Way Project Parcel Folders - (Active)		May include correspondence, notice of excess purchased, relocation advisory assistance programs packet receipt, deed list, check receipt title report, affidavit of descent improvement record, proposal to purchase, proposal for sale and removal, or demolition of improvements, cost breakdown and pay statement condemnation pay statement, deed of conveyance, record of negotiations, buyers and appraisers request for condemnation, appraisal report	Agency: 1	Records Center:	Archives Center:  Destroy three years after completion of project or receipt of copy of As-Built Plans
489	Municipal Aid File - (Defunct Program)			Agency: 3	Records Center:	Archives Center:  Destroy
513	Pipe Files		Contains test reports of pipe	Agency: 3	Records Center:	Archives Center:  Destroy
487	Project Authorization and Completion Reports on Projects Constructed by Contract and/or State Forces - (Duplicate)			Agency: 1	Records Center:	Archives Center:  Destroy five years after completion of project
556	Attorney Monthly Report			Agency: 5	Records Center:	Archives Center:  Destroy

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
544	SRF, SCF, and SSF, Project Folders - (Duplicate) -		Correspondence estimates, authorizations and project data	Agency: 5	Records Center:	Archives Center:
				Destroy		
528	Initial Treatment Programs		Estimates, recommendations and correspondence	Agency: 5	Records Center:	Archives Center:
				Destroy		
512	Test Reports on Materials Sent from One District to Any Other			Agency: 3	Records Center:	Archives Center:
				Destroy		
511	Records of Studies on Material Testing			Agency: 6	Records Center:	Archives Center:
				Destroy		
545	County Road Aid Annual Activity Reports			Agency: 5	Records Center:	Archives Center:
				Destroy		
510	Materials Specifications			Agency: 1	Records Center:	Archives Center:
				Destroy one year after specifications revised		
488	Research Studies and Plans and Locations of Roads		Traffic counts, sufficiency ratings, turnpike studies, related correspondence	Agency: 5	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
503	Truck Delivery Receipt and Weight Ticket	Accumulated by resident engineer and turned into District Office		Agency: 1	Records Center:	Archives Center:
				Destroy three years after completion of project and after final voucher is paid on federal funds, and audit		
473	Daily Report of Labor and Equipment, Daily Time Roster - (TD31- 396)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
474	General and Subsidiary Ledger		Back up records for supporting documents of all fiscal transactions	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
475	Daily Radio Log			Agency: 2	Records Center:	Archives Center:
				Destroy		
476	Administration Office Copy of Teletype Messages			Agency: 2	Records Center:	Archives Center:
				Destroy		
478	Position Control - (Printout)			Agency: 2	Records Center:	Archives Center:
				Destroy		
479	Daily Time Rosters			Agency: 2	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
483	Breakdown of Labor and Equipment - (Computer Recap)			Agency: 1	Records Center:	Archives Center:
				Destroy		
519	Record Plans and Drawings of All Roads Accepted by Maintenance Division - (District copy)			Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		
502	Construction Project Plans - (Duplicate)			Agency: I	Records Center:	Archives Center:
				Destroy three years after completion of project or receipt of copy As-Built Plans		
469	Kardex Cards and Computer Listing Giving Location and Responsibility of Vehicles and Office Equipment			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
504	Weighman's Daily Report (Weight sheet) and Final Estimate			Agency: I	Records Center:	Archives Center:
				Transfer to the Central Office Division of Construction at completion of project		
490	Record Plans As-Built - (Microfilm copy)			Agency: P	Records Center:	Archives Center:
				Retain in agency		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Records Title Series and Description		Function and Use	Contents	Retention Disposition Instruction		
491	Design Project Folders in Federal Aid, State and Rural Secondary Projects		Includes correspondence, plans, designs	Agency: I	Records Center:	Archives Center:  Destroy after receipt of microfilm of As-Built Plans, and three years after completion of construction
492	Utilities Project Folders		May contain agreements with public utility companies (for moving or relocating power lines, telephone lines, etc. on right of way), estimates of costs, profiles and drawings, status report of progress of negotiations, correspondence	Agency: I	Records Center:	Archives Center:  Destroy after receipt of microfilm of As-Built Plans, and three years after completion of construction
515	Maintenance Project Files		May include correspondence, estimates, acceptance reports, contracts with cities, project authorizations, drainage inspection reports and maps	Agency: I	Records Center:	Archives Center:  Destroy ten years after completion of project
516	County and City Maintenance Maps Showing Location of All Maintenance Projects			Agency: I	Records Center:	Archives Center:  Destroy when obsolete
522	Maintenance Equipment Files		Includes equipment assignment list or Kardex	Agency: I	Records Center:	Archives Center:  Destroy when obsolete
554	Encroachment Case Folders - (District copy)			Agency: I	Records Center:	Archives Center:  Destroy two years after case is closed

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
501	Construction Project File		May include correspondence pertaining to award data equipment rental; sub-contracting data and related correspondence; laboratory test reports (pavement core drill samples, reinforcing steel, materials); advisement of date work begun and date contract completed; Federal Highway Administration inspection reports (initial, intermediate, final); resident engineers bi-monthly progress reports; Central Office final construction inspection reports (grade and drain, bridges and culverts, structures, surfacing); piling records for bridge construction; construction permits; permit for trench or mixing of contract; calculations and pencil drawing; drainage and other project related correspondence	Agency: 1	Records Center:	Archives Center:
				Destroy three years after completion of project or upon receipt of As-Built Plans		
534	Bid Proposals - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy		
527	Resurfacing Program		Estimates, recommendations, and correspondence	Agency: 5	Records Center:	Archives Center:
				Destroy		
526	Special Cost Studies		Snow and ice removal, freeze damage and other data	Agency: 5	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
525	Flood Relief Files - (Duplicate) -		Contains correspondence cost data, special provisions and instructions	Agency: 5	Records Center:	Archives Center:
				Destroy		
524	Lots and Buildings Files			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
523	Bill Board and Sign Permits - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy when permit is no longer valid		
529	Bridge Painting Programs			Agency: 5	Records Center:	Archives Center:
				Destroy		
530	Surplus Property Sales			Agency: 5	Records Center:	Archives Center:
				Destroy		
531	Annual Permits to Haul House Trailer and Boats - (Duplicate)			Agency: 2	Records Center:	Archives Center:
				Destroy		
472	Contract Folders - (TD31-102) - (By TCT and TP number giving company and type of project) -		May include copies of purchase requisitions, request for delivery tickets, weight tickets, weighman's daily reports, test reports, invoice, receiving report, distribution sheet	Agency: 3	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
533	Junkyard (Re-cycle) Permit Files - (Duplicate) -		May include inspection report, application and correspondence	Agency: 2	Records Center:	Archives Center:
				Destroy		
471	State Vehicle and Property Damage Files		Accident report, police report, insurance company report, legal reports and payments	Agency: 1	Records Center:	Archives Center:
				Destroy five years after final settlement		
535	Unit Tabulation of Bidders - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy		
505	Construction Project Files		May include copies of test reports on aggregates, steel, asphalt and other materials and related correspondence	Agency: 1	Records Center:	Archives Center:
				Destroy after completion of project		
506	Materials Test Reports		Copies for Maintenance, County Road Aid and State Force Projects	Agency: 1	Records Center:	Archives Center:
				Destroy after final payment		
507	Test Reports Submitted to Central Office - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy after completion of project		
508	Test Reports Made in Labs - (First hand written records of tests)			Agency: 1	Records Center:	Archives Center:
				Destroy after completion of project		
509	Quarry Reports		Contains quarry logs and quality	Agency: 1	Records Center:	Archives Center:
				Destroy when quarries are re-tested		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
468	Transfer of Equipment Responsibility Reports			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
518	Encroachment Permit Folders Change Date: 4/1/1982		May include encroachment specifications and conditions, tree cutting or trimming specifications and conditions, use of chemicals specifications and conditions, encroachment permit bond and general notes and specifications, plans and related correspondence.	Agency: P	Records Center:	Archives Center:
				Retain in agency		
532	Tree Trimming and Spraying Permits - (Duplicate)			Agency: 2	Records Center:	Archives Center:
				Destroy		
553	Board of Claims Folder - (District copy)			Agency: I	Records Center:	Archives Center:
				Destroy one year after case is closed		
493	Field Books			Agency: I	Records Center:	Archives Center:
				Transfer to Transportation Cabinet Central Office when project is completed		
494	Research Studies on Plans and Locations of Roads - Duplicate		Traffic counts, sufficiency ratings, turnpike studies, related correspondence	Agency: I	Records Center:	Archives Center:
				Destroy after five years and when no longer useful		
496	Plans of Original Tracings - (Copy of plan submitted to Central Office)			Agency: 5	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
497	Design Public Hearing Records of New Projects - (Duplicate)			Agency: 5	Records Center:	Archives Center:
				Destroy		
536	Kardex Inventory of All Parts and Tools - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy when obsolete		
537	Stock Transfers - (Duplicate)			Agency: 2	Records Center:	Archives Center:
				Destroy		
538	Lubrication Record of All Vehicles of District			Agency: 1	Records Center:	Archives Center:
				Destroy		
539	Repair Folders		Contains duplicate requisitions, transportation purchase orders, receiving reports, labor time on repair and correspondence	Agency: 1	Records Center:	Archives Center:
				Destroy		
540	Garage Purchase Log			Agency: 1	Records Center:	Archives Center:
				Destroy		
521	Contracts With Adjoining States for Joint Maintenance of Bridges Connecting the Two States - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy two years after termination of contract		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
552	Condemnation Case Folders - (District copy)			Agency: 1	Records Center:	Archives Center:
				Destroy two years after case is closed		
555	Legal Case Folders on Other Matters Represented by District Office Attorneys - (District Copy) -		Property damage, employee compensation cases	Agency: 1	Records Center:	Archives Center:
				Destroy one year after case is closed		
514	Index Books on Projects - (Identification by number)			Agency: 1	Records Center:	Archives Center:
				Destroy ten years after final entry		
563	Drawings for Channelization			Agency: 1	Records Center:	Archives Center:
				Destroy when updated		
548	Rural Secondary Survey and Construction File - (Duplicate) -		Contains estimates, order for survey and plans, inspection reports, maintenance acceptance reports	Agency: 5	Records Center:	Archives Center:
				Destroy		
517	Daily Road Condition Teletype and Reports			Agency: 1	Records Center:	Archives Center:
				Destroy when obsolete		
546	County Road Aid Maps - (Duplicate)			Agency: 5	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
541	Window Tickets			Agency: 1	Records Center:	Archives Center:
				Destroy		
547	Rural Secondary Program Files - (Duplicates) -		Contains project authorizations and modifications, correspondence, estimates, inspection reports and maps	Agency: 5	Records Center:	Archives Center:
				Destroy		
562	Toll Ferry Files - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy when ferry no longer active		
549	Rural Secondary Program - (Duplicate) -		District conferences and recommendations - Fiscal Court meetings	Agency: 5	Records Center:	Archives Center:
				Destroy		
550	Rural Secondary General County File		Correspondence file not pertaining to specific projects	Agency: 5	Records Center:	Archives Center:
				Destroy		
551	Bid Letting File - (Duplicate) -		Notice of advertising of bid letting, tabulation of awards	Agency: 1	Records Center:	Archives Center:
				Destroy		
561	Plans for Lighting Projects, Roadway Sign and Other Data			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
565	Planning, Design and Location Correspondence on All Toll Roads - (Duplicate)			Agency: 5	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
District Offices

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
557	Traffic Control Agreements (City and county)			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
558	Speed Zone Files		May include request for speed zone investigations, log and sketch radar speed study, recommendation based on study, official order for speed zone on designated highway	Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		
559	Signal Installation Files		Controllers, beacons, flashers and signals	Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		
560	High Accident Location Studies - (Duplicate)			Agency: I	Records Center:	Archives Center:
				Destroy one year after situation has been corrected		
564	Covington and Cincinnati Bridge Company Records		Includes listing of names for preferred stock for which no certificates received, 1885; Board of Directors quarterly reports and minutes 1925 to 1946; Director's Meeting Book, 1856; Bridge Company accounts received ledgers, 1932	Agency: 10	Records Center:	Archives Center: P
				Transfer to the State Archives Center		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Drainage

Records Title				Retention		
Series	and Description	Function and Use	Contents	Disposition Instruction		
218	Drainage Correspondence by County			Agency: P	Records Center:	Archives Center:
				Retain in agency		
219	Drainage Folders - (Includes all drainage calculations) Change Date: 9/8/1988	These folders are submitted by any of the 70 to 100 District Consultants employed by any of the 12 districts throughout the state for approval to construct the bridge or culvert proposed. The hydraulic and structural requirements are reviewed by the Drainage Section and, if approved, passed on to the Division of Bridges to use in the structural design of the bridge or culvert. After the job is completed, the folder is transferred back to the Drainage Section so that the hydraulic information can be used in research by property owners, any litigation, any projections for establishing other crossings upstream and/or downstream, or to answer questions from the Corps of Engineers during the course of a study. The hydraulic information contained within this file has a design life of 50 years, after which time, any desired hydraulics would have to be reconstructed under existing conditions. Before this series is destroyed, any permanent information is stripped from the file and maintained permanently in Series 218, Drainage Correspondence by County. Supporting information is maintained in Series 251, Bridge Design Plans and Series 257, Calculation File (design computation on bridge structures).	Series contains: Index to folder, correspondence, hydraulic and structural drawings, calculations, culvert and bridge summary sheet, structure summaries, plans, construction company names, consultant names, district number, drawing number, inspection data, route number	Agency: I	Records Center: 50	Archives Center:
				Transfer to the State Records Center after construction of the bridge or culvert is complete		
NOTE: Audit requirement is a federal program audit rather than a financial audit.						

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Energy Program

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
422	Estimate File - Non-Constructed Projects		Estimate part of project file if proposal is constructed	Agency: 2	Records Center:	Archives Center:
				Destroy		
421	District Conference and Recommendations - (Fiscal Court Meetings)			Agency: 2	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
419	Project File		May include project authorization and modification (TD10-1, TD10-2); memorandum assigning a project number (TD20-2); instruction; estimates for road construction for improvement; inspection report of road proposed for improvement; county map showing road location	Agency: 2	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
418	Program File			Agency: 2	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
420	Survey File		May include contractor's estimate; maintenance reports; final construction inspection report (TD63-4); report on location survey; official order for survey and plans (TD61-409); geometric design (TD61-404); county map and photo map of road	Agency: 2	Records Center: 5	Archives Center:
				Transfer to the State Records Center		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Engineering Agreements

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
213	Engineering Contract Agreements with Consulting Engineering Firm		May include third party agreements, supplementary agreements, extra work/stop-start orders, third party contract reports and related correspondence	Agency: P	Records Center:	Archives Center:
				Retain in agency		
214	Prequalification Committee for Consultant Engineer File			Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Environmental Analysis

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
203	Federal Aid Participation Project File			Agency: 1	Records Center:	Archives Center:
				Destroy after project is constructed and all payments complete		
207	Kentucky Action Plan File		Working papers and information used to compile division's chapter of the Departmental Action Plan	Agency: 5	Records Center:	Archives Center:
				Destroy		
204	Project Files - (Including environmental studies)			Agency: 1	Records Center:	Archives Center:
				Destroy three years after project is constructed		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Equipment

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
429	Master Charge Form For Spare Parts Inventory - (TD74- 611)			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
443	Semi-Annual Equipment Operational Cost - (Printout information)			Agency: 1	Records Center:	Archives Center:
				Destroy		
442	Repair Orders - (TD74-201)			Agency: 2	Records Center:	Archives Center:
				Destroy		
441	Equipment Operators Test - (TD74- 396)			Agency: 2	Records Center:	Archives Center:
				Destroy		
440	Agency Request of Quotation			Agency: 2	Records Center:	Archives Center:
				Destroy		
435	Stock Transfer - (TD74-109)			Agency: 2	Records Center:	Archives Center:
				Destroy		
434	Supply Requisition - (On file at central warehouse)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
433	Frequency Measurement Form - (TD74-2)			Agency: 3	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Equipment

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
444	Semi-Monthly Equipment Rental Report - (TD74- 203)			Agency: 1	Records Center:	Archives Center:
				Destroy		
430	Annual Equipment Operation Cost			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
432	Stock Record (Kardex Card)		Working inventory control on stock items	Agency: 1	Records Center:	Archives Center:
				Destroy card when obsolete		
428	History Card - Kardex - (TD74- 503)			Agency: 1	Records Center:	Archives Center:
				Destroy after disposal of equipment		
427	Radio Communication Equipment Record - (TD74-500)			Agency: 1	Records Center:	Archives Center:
				Destroy after disposal of equipment		
426	Motor Vehicle Bill of Sale - (71A182)			Agency: 1	Records Center:	Archives Center:
				Destroy three years after disposal of equipment, and audit		
425	Certificates of Registration - (71A182)			Agency: 1	Records Center:	Archives Center:
				Destroy three years after disposal of equipment, and audit		
424	Equipment History Card - (TD74- 113)			Agency: 1	Records Center:	Archives Center:
				Destroy after disposal of equipment and when no longer useful		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Equipment

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
439	Daily Report of Pool Vehicles - (TD 74-28)			Agency: 2	Records Center:	Archives Center:
				Destroy		
436	Operator's Service Report - (TD74-1)			Agency:	Records Center:	Archives Center:
				Destroy		
437	Daily Labor Report - (TD74-23)			Agency:	Records Center:	Archives Center:
				Destroy		
431	Bin Change Form For Spare Parts			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
446	Equipment Transfer - (TD75-106)			Agency: 1	Records Center:	Archives Center:
				Destroy		
450	Motor Vehicle Extra Hour Use Permit			Agency: 6 months	Records Center:	Archives Center:
				Destroy		
447	Schedule of Equipment Junked - (TD74-202)			Agency: 1	Records Center:	Archives Center:
				Destroy		
445	New Road Equipment Received by Central Garage - (TD74-105)			Agency: 1	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Equipment

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
438	Window Ticket - (TD74-24)			Agency: 2	Records Center:	Archives Center:
				Destroy		
448	Equipment Allocation Order			Agency: 1	Records Center:	Archives Center:
				Destroy		
449	Standard Form 97, U.S. Government Certificate of Release of a Motor Vehicle - (Photostat copies)			Agency: 1	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Estimating Staff

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
201	Estimate Preparation Working Papers			Agency: 2	Records Center:	Archives Center:
				Destroy		
200	Plans, Specifications and Estimates - (Duplicate)			Agency: 5	Records Center:	Archives Center:
				Destroy		
202	Review of Completed Projects			Agency: 2	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Location

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
217	Engineering Design Reports and Studies		Other than those that are part of hearing procedure. Used as reference and source data in adopting specifications for materials and equipment	Agency: 15  Destroy	Records Center:	Archives Center:
216	Terrain Data - (Computer Tape)			Agency: 1  Destroy when construction project completed	Records Center:	Archives Center:
215	Location Project File		May include survey order, geometric design sheets, pavement design, soils report, design report, joint inspection report, design public hearing transcript, estimates, environmental impact statements, related correspondence	Agency: 1  Destroy fifteen years after contract letting date	Records Center:	Archives Center:

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Maintenance

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
387	State Parks and College Roads Memo of Understanding			Agency: I	Records Center:	Archives Center:
				Destroy after termination of program		
391	Maintenance Record Cards on Roads and Bridges - (TD61- 3)			Agency: I	Records Center:	Archives Center:
				Destroy individual cards two years after final entry		
390	Recycling Permit Application, Maps, Status Reports and Related Correspondence			Agency: I	Records Center:	Archives Center:
				Destroy after permit revoked or expired and after any litigation is settled		
392	City Maintenance Maps			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
388	Advertising Device Permits			Agency: I	Records Center:	Archives Center:
				Destroy three years after permit revoked, and audit		
386	Encroachment Permit Folders Change Date: 4/1/1982		May include encroachment permit, ponding encroachment specifications and conditions, tree cutting or trimming specifications and conditions, use of chemicals specifications and conditions, encroachment permit bond and general notes and specifications, plans and related correspondence	Agency: P	Records Center:	Archives Center:
				Retain in agency		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Maintenance

Records Title		Retention	Disposition Instruction
Series	and Description		
385	Bridge Maintenance Contracts with Adjoining States Concerning Bridges Connecting Two States	Agency: P Records Center: Archives Center:	Retain in agency
389	Outdoor Advertising Correspondence and Status Reports	Agency: I Records Center: Archives Center:	Destroy when permit revoked
407	County Road Program -(Defunct program)	Agency: 2 Records Center: Archives Center:	Destroy
400	Resurf and Initial Treatment Program and Related Correspondence - (TD10-1, TD10-11 Map) Change Date: 4/1/1982	Agency: I Records Center: Archives Center:	Destroy when no longer useful
401	Accomplishment Report - Monthly	Agency: 5 Records Center: Archives Center:	Destroy
402	Safety Improvement Projects Completed	Agency: 3 Records Center: Archives Center:	Destroy
403	General Inspection Reports - Interstate and Parkways Change Date: 4/1/1982	Agency: 4 Records Center: Archives Center:	Destroy

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Maintenance

Records Title		Retention	Disposition Instruction
Series	and Description		
404	Industrial Hauling Permits Change Date: 4/1/1982	Agency: 1	Records Center: Archives Center:
			Destroy one year after expiration of permit
405	Recycling Permits	Agency: 2	Records Center: Archives Center:
			Destroy
394	Contracts for City Street Maintenance	Agency: 1	Records Center: Archives Center:
			Destroy when obsolete
393	County Maintenance Maps	Agency: 1	Records Center: Archives Center:
			Destroy when obsolete
399	Project Authorization or Modification - (Contract TD-10)	Agency: 5	Records Center: Archives Center:
			Destroy
398	Drainage Structure Inspections - Bridges - (TD71- 104)	Agency: 10	Records Center: 20 Archives Center:
			Transfer to the State Records Center
395	Railroad Crossing Signal Device Agreements	Agency: 1	Records Center: Archives Center:
			Destroy after termination of agreement

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Maintenance

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03115	Bridge Maintenance History Files	These files document physical characteristics of state-maintained bridges and culverts of over 20 feet in length on their completion and, subsequently, alterations made to them through maintenance or repair. Files are created when the Bridge Maintenance Section (BM) receives notification that bridges have been completed and prompts district highway engineers to inspect the bridge and to record the results here. These form the initial documentation in the file; their statistical data are augmented with photographs of the bridge taken from various angles. The file is updated each time the bridge is inspected, which is normally annually or semiannually. Bridges which have known defects or problems are inspected more frequently. Also includes correspondence relating to alterations to the bridge's structure and the nature of repairs. Note: BM maintains files paralleling these for county-owned bridges. These are described separately as Series #3115. BM also maintains an automated system the Bridge Inventory System, which duplicates the data found in both files, apart from the photographs and correspondence. This system is described separately as Series #3117.	Series contains: Data documenting the location and physical characteristics of bridges. In addition to information locating the bridges, the data are principally engineering data reflecting the original design of the bridge and, subsequently, the status of the bridge at various points in its existence. The nature of alterations made to the bridge over time are fully detailed. The principal documents in the file include the structural inventory and appraisal report	Agency: I	Records Center: 7	Archives Center:
				Transfer to the State Record Center following closure or replacement of the bridge		
03117	Bridge Inventory System - (Electronic)	Bridge Maintenance (BM) maintains this system for the purpose of inventorying and appraising all public access bridges and culverts over 20 ft. long in the state of Kentucky. This file satisfies the provisions of the "Highway Safety Act of 1970" (pl 91-605) which requires the state use standardized procedures to inspect all of their bridges on federal aid. The FHWA provides 80% of the funds for bridge repair and replacement. The major function of the system is to produce numeric ratings which are used to determine a bridges eligibility for repair or replacement. Also, from this system the BM section produces various statistical reports for themselves, for other agencies, the FHWA, and miscellaneous inquirers. The primary report produced for in-house purposes is the Structural Inventory and Appraisal Report (03118), Structurally Deficient Bridges (03119), Sufficiency Rating (03121), Replacement Cost (03123), and Functionally Obsolete Bridges Report. BM also uses this system to produce an annual report for the FHWA. This report is titled FHWA Submittal (03122), and it contains the numeric rating mentioned above. Finally, the system is used to produce various query reports for federal agencies, other state agencies, and for private individuals.	Series contains: 198 data elements which replicate information gathered during the initial inventory of the bridge, which are in turn updated following periodic inspection by highway district engineers. This inventory is a complete structural picture of the bridge which details location data, structural data, appraisal designations, physical measurements, bridge clearance and proposed improvements as well as the costs of these improvements. Also query and maintenance programs	Agency: I	Records Center:	Archives Center:
				Retain in agency		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Maintenance

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03118	Structural Inventory and Appraisal Report - (BIS Printout)	The Structural Inventory and Appraisal (S,I and A) report is an annual printout of the data contained in the Bridge Inventory System. It is the structural inventory of each public access bridge and culvert over 20 ft. in the state of Kentucky. This data is collected during the initial inspection which follows a bridge's construction, and is updated following periodic inspections by Highway district engineers. While the Division of Maintenance developed the Bridge Inventory System in compliance with the 1968 Federal Highway Administration Act, the S,I and A report is used primarily as a reference tool by the Division of Maintenance, Planning, Systems Engineering, and by Highway district engineers. It aids these Divisions in planning for repair and replacement of bridges. The S,I and A is also used by the bridge maintenance personnel to answer questions pertaining to load capacity and clearance. This report is created by program V 0146.	Series contains: 198 data elements which include information on location, traffic patterns, structural and maintenance conditions, proposed needed improvements, and the approximate cost of these improvements. The inspection portion of the report contains a number of fields which are filled in with a numerical rating from 0-9. These inspection elements are divided into sections relevant to deck structure, substructure, superstructure, paint condition, channel protection	Agency: I	Records Center:	Archives Center:
				Destroy when superseded		
03119	Structurally Deficient Bridges Report - (BIS Printout)	The Bridge Maintenance section uses this report, which is an annual printout of the Bridge Inventory System, to facilitate planning. It arranges bridges from the most deficient to the least. This is done by using the numeric rating system which is mandated by the Federal Highway Administration. This system rates bridges on a scale from 0 to 100. Every bridge which falls below the rating of 80 is considered structurally deficient. This report aids the Division of Maintenance and Planning in prioritizing bridge repair. This report is created by program V 1201.	Series contains: Bridge project number, inventory route number, location description, features intersected, mile point, sufficiency rating, operating rating, inventory rating, year built, and the following conditional and appraisal ratings; wearing surface, deck structure, superstructure, substructure, channel, culvert and retaining walls, roadway alignment, structure, deck geometry, vertical and horizontal clearance, safe load capacity, waterway adequacy	Agency: I	Records Center:	Archives Center:
				Destroy when superseded		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Maintenance

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03120	Functionally Obsolete Bridges Report - (BIS Printout)	The Bridge Maintenance section uses this report, which produced annually from the Bridge Inventory System, to facilitate planning. It arranges bridges from the most obsolete to the least. This is done by using the numerical rating system which is mandated by the Federal Highway Administration. This system rates bridges on a scale from 0 to 100. Every bridge which falls below the rating of 50 is considered functionally obsolete. This report aids the Division of Maintenance and Planning in prioritizing bridge replacement. This report is produced by program V 1201.	Series contains: Bridge project number, inventory route number, location description, features intersected, mile point, sufficiency rating, operating rating, inventory rating, year built, and the following conditional and appraisal ratings; wearing surface, deck structures, superstructure, substructure, vertical and horizontal clearance, safe load capacity, waterway adequacy and approach roadway alignment	Agency: I	Records Center:	Archives Center:
				Destroy when superseded		
406	Equipment Rental			Agency: 2	Records Center:	Archives Center:
				Destroy		
03116	Bridge Maintenance History File	These files document repairs and maintenance of bridges built under county authority but with federal funding. Bridge Maintenance (BM) and district office engineers are responsible for inventorying these bridges in the same manner that they inventory state bridges, in order to monitor the expenditure of such funds. Upon notification that a county bridge has been completed, district engineers conduct an inspection of the bridge, which forms the initial documentation in the file. Subsequently, the file is updated each time the bridge is inspected. Other documents in the file may include correspondence of Bridge Maintenance with local officials. Typically the county judge executive. Note: BM maintains files paralleling these for state-owned bridges. These re-described separately as Series 03115. BM also maintains an automated system, the Bridge Inventory System, which duplicates the data found in both files, apart from the photographs and correspondence. This system is described separately as Series 03117.	Series contains: Data documenting the location and physical characteristics of bridges. In addition to information locating the bridges, the data are principally engineering data reflecting the original design of the bridge and, subsequently, the status of the bridge over time are fully detailed. The principal documents in the file include the Structural Inventory and Appraisal (SIA) report made when the bridge is completed; subsequent Bridge Inspection Reports made at annual, semi-annual, or irregular intervals; photographs, and fragmentary correspondence.	Agency: I	Records Center: 7	Archives Center:
				Transfer to the State Records Center following closure or replacement of the bridge		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Maintenance

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
412.1	County Maintenance Files Change Date: 4/1/1982		May include correspondence related to accidents, road shifts or slides, legal considerations and project authorizations	Agency: 5	Records Center: *10	Archives Center:
				Transfer to State Records Center		
				*Retain to Division of Maintenance. Screen returned files and destroy all obsolete material. Return any active files until obsolete and destroy		
412	Real Property Status Reports			Agency: 1	Records Center:	Archives Center:
				Destroy		
411	Bid Proposals and Contract Documents			Agency: 1	Records Center:	Archives Center:
				Destroy		
410	Project Recommendation Not Approved - (TD10- 11)			Agency: 1	Records Center:	Archives Center:
				Destroy		
409	Materials Inventory and Budget Documents			Agency: 2	Records Center:	Archives Center:
				Destroy		
408	Rural Secondary Program Project Recommendations and Cost Data - (TD20-12 and 20- 14)			Agency: 2	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Maintenance

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03123	Replacement Cost Report - (BIS Printout)	This report, which is an annual printout of the Bridge Inventory System, fulfills a state compliance requirement that the Bridge Maintenance calculate the approximate costs to replace each bridge in the Commonwealth. With this report, Bridge Maintenance can quickly locate the approximate cost for replacement of any Bridge in the Commonwealth. This report is produced by program V1466.	Series contains: This report contains one field which identifies the bridge by route number and bridge number, and one which details what the approximate cost of replacement for that bridge would be	Agency: I	Records Center:	Archives Center:
				Destroy when superseded		
03121	Sufficiency Rating Report - (BIS Printout)	The Sufficiency Rating report, an annual printout from the Bridge Inventory System, is used by the Bridge Maintenance section as a quick reference tool. It contains a numerical rating of every public access bridge and culvert over 20 feet in the state of Kentucky. With this report a maintenance engineer can quickly look up the numerical rating of any bridge or culvert in the state. The section of Bridge Maintenance uses these ratings to facilitate planning, as do the divisions of Construction and Planning. This report is produced by program #V 0491.	Series contains: One field which identifies the bridge, and one which is simply the numerical rating, based on computation from the Bridge Inventory System. The rating is a number between 0 and 100. If the number is less than 80 the bridge is eligible for repair, if it is less than 50 it is eligible for replacement. These ratings are based on guidelines set by the Federal Highway Administration.	Agency: I	Records Center:	Archives Center:
				Destroy when superseded		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Maintenance

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03122	Federal Highway Administration Submittal - (BIS Printout)	<p>This report replicates an annual report which is produced by the Bridge Inventory system sent to the Federal Highway Administration on magnetic tape. It is a printout of information which the FHWA provides 80% of the funds necessary for repair and replacement of bridges as long as the State follows standardized inspection and appraisal procedures. The report sent to the FHWA is the record copy.</p> <p>This report is produced by program P3157.</p>	Series contains: Twelve data elements which are migrated from the Bridge Inventory System which depict the structural condition of each public access bridge and culvert in the state. This includes a numerical rating which is the federal standard to determine whether the bridge is eligible for replacement or reconstruction. All of these fields are originally gathered on the Structural Inventory and Appraisal Report. Data elements detail the type of material which makes up the substructure, superstructure, and deck surface. Also included in the report are: year built, length, curb to curb deck area in yards, conditional ratings and appraisal ratings. (See attached list of data elements)	Agency: I	Records Center:	Archives Center:
				Destroy after superceded by the next years run		
03988	Inspection File Change Date: 6/13/1991	<p>This series documents inspections of state and county bridges built on Kentucky's public roads. The purpose of the inspections, which are usually conducted by District Office staff, is to determine the structural soundness of a bridge, how it affects surrounding waterways, and the condition of highways leading to the structure. Currently, there are 4,268 county structures. Because of structural weaknesses previously identified, approximately half of these bridges are inspected on a yearly basis. State bridges, which number 8,876, are inspected on a two year basis, as required by the Federal Highway Administration. Of the total number of state bridges, 8,650 are actively maintained by the Division. A small number of state bridges, approximately 750, are inspected yearly because of previously identified structural weaknesses.</p>	Series contains: Inspection Reports; General Correspondence; Bridge Analysis Reports; Drawings and Sketches; Photographs; Consultant Studies; and Original Inventory Sheets	Agency: 3	Records Center: 12	Archives Center:
				Transfer to the State Records Center		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Mass Transportation

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
34	Urban Transportation Study Work Papers		May include turning movement sheets, parking turnover sheets, manual classification count, travel time study, run sheet	Agency: I	Records Center:	Archives Center:  Destroy five years after completion of study report

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Materials

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03917	Soil Reports and Geologic Maps Change Date: 12/13/1990	This series documents information on soil tests taken by engineers of the Transportation Cabinet on proposed road sites in Kentucky. The engineers take soil samples from the road area and bring them in to the Division of Materials for testing. The results are prepared by the Geotechnical Branch to aid the design engineer in evaluating soil types, rock types, and/or other geological features in the designing of proposed roads. Once the testing is completed, it is determined the kind of foundation the road is being built on. Some of the testing information is input into the MITIS system. The maps are used to view the formation of the earth under the road construction site.	Series contains: Identification number; inspector social security number; date sampled; type of inspection; producer number/supplier number; material code; inspected quantity; lot number; sampled from; county; name; crew; sample sequence number; original indent; description; units; project number; quantity; date assigned; type of construction; pass/fail; costs; reason; physical; chemical; sieve analysis; size; Sp. gravity; remarks; copies; topographical maps	Agency: P	Records Center:	Archives Center:  Retain in agency Note: Destroy duplicate copies when no longer needed
03918	Rock Quarry Reports Change Date: 12/13/1990	This series documents information on the testing of rock used in the construction of roads in Kentucky. All rock quarries must have each layer of rock tested before selling it to be used for road construction. Each layer of rock is different and, when mixed, must be tested each time it is used. The tests are conducted only for state road construction.	Series contains: Identification number; county; name; crew; sample sequence number; original identification; name; location; description; units; inspector social security number; date sampled; type of inspection; producer/supplier number; material code; inspected quantity; lot number; sampled from; responsible loc; laboratory name; detail test; distribution; project code; project number; quantity; date assigned; date received; date completed; pass/fail; reason; costs; type of construction; physical; chemical; sieve analysis; remarks; copies	Agency: I	Records Center:	Archives Center:  Destroy one year after rock quarry is closed
03919	Project File Change Date: 12/13/1990 (V)	This series documents information on all materials used in state road construction in Kentucky. The Division of Materials has the responsibility of testing all materials used in the construction or re-construction of state roads. The division must check the quantity and quality of all materials used in each project as well as the soil and foundation. The project file contains the documents and results of this testing.	Series contains: Correspondence; proposals; contracts; test results on soil, chemical, physical, and asphalt	Agency: I	Records Center:	Archives Center:  Destroy three years after completion of project, and audit

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Materials

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03920	Materials Integrated Test Information System (MITIS) - (Electronic) Change Date: 12/13/1990	This system provides data primarily to aid in the certification of completed highway construction projects in Kentucky. Engineers and staff take samples of material used to build roads, record them, and send them to the Division of Materials lab for testing. This system provides information about the materials tested and used on each project, a list of certified suppliers/producers and quantities they are certified for and a quantity log of items that have been pretested. The information in this system is used to organize and research materials used in the construction of state roads in Kentucky. This system is connected to all twelve districts which allows district highway personnel to have access to test results done in the central lab as soon as the file has been updated.	Series contains: Miscellaneous materials; lab concrete mix design; woven barbed, tension wire, chain link fence, posts; plastic pipe; pavement core drill report; bituminous core report; concrete cylinder test; seeds; electric wire and conduit; joint filler; cement test; reflex-reflective materials; source certification of bituminous material; daily reporting of asphalt plant mix inspection; bituminous materials; curing compound; summary of disturbed soils; aggregate test results; general paint test; corrugated metal pipe; preformed neoprene joint seals; contractors job-mix formula and asphalt plant mix; contractors job-mix formula and asphalt plant mix; daily concrete batch plant report; reinforcing steel bars; concrete pipe inspection report; load transfer and expansion assembly; vendors certification for aggregates; Marshall test; density test results; inspection for prestressed concrete members; elongation for prestressed concrete members; prestressed concrete daily mix design report; aggregate test data; DGA test results; crushed stone base; sodium chloride; filter fabric; fly ash; multiple material tests.	Agency: I	Records Center:	Archives Center:
				Maintain electronic file, updating as needed		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Pavement and Geometric

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
225	Pavement Design - (Original)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
224	Project Progress Log			Agency: P	Records Center:	Archives Center:
				Retain in agency		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Photo-Tec

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
244	Requisition of Aerial and Photographic Work - (TD53-1) - (Duplicate)			Agency: 2	Records Center:	Archives Center:
				Destroy		
241	U.S. Coast and Geodetic Records - State Plane Coordinates		Description of bench marks and triangulation	Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
238	Photographic File Documentation			Agency: P	Records Center:	Archives Center:
				Retain in agency		
240	Aerial Photograph Files - (Contact Prints)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
242	U.S. Geological Survey Records			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
239	Photologging Photographic Negatives			Agency: P	Records Center:	Archives Center:
				Retain in agency		
243	Control Photo Prints From Which Maps are Produced			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
237	Aerial Photograph Negatives			Agency: P	Records Center:	Archives Center:
				Retain in agency		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Planning

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
285	IBM Tabulation Runs - (Informational)			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
286	Financial Statements and Working Papers			Agency: 1	Records Center:	Archives Center:
				Destroy when no longer useful		
01531	Notice of Award of Price Contract			Agency: 1	Records Center:	Archives Center:
				Destroy when obsolete		
01532	ICC Finance Dockets			Agency: 1	Records Center:	Archives Center:
				Destroy		
01529	Fire Insurance File			Agency: 1	Records Center:	Archives Center:
				Destroy when insurance expires		
297	Data Summary Computer Report			Agency: 15	Records Center:	Archives Center:
				Destroy		
01533	Supplements to Tariffs			Agency: 1	Records Center:	Archives Center:
				Destroy		
01521	KRC Case Files			Agency: 8	Records Center:	Archives Center: P
				Transfer to State Archives		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Planning

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
01530	Passenger and Commodity Tariffs			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
296	Count Summary - (Annual Report)			Agency: 15	Records Center:	Archives Center:
				Destroy		
01522	Suspension Orders			Agency: 8	Records Center:	Archives Center: P
				Transfer to State Archives		
283	Road and Rail Condition Reports - (Duplicate) - (Original in Construction)			Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		
287	Statistical Data and Reports - (Printout or hand prepared)			Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		
288	Highway Performance Monitoring System Field Inventory and Code Sheets			Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		
289	Report on Capital Obligation Statistics (1976-1978)			Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		
290	Revised Population Forecasts for Kentucky (1975- 2010)			Agency: I	Records Center:	Archives Center:
				Destroy after new census		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Planning

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
291	Kentucky Statewide Traffic Model Study: Forecasting Activity Data			Agency: I	Records Center:	Archives Center:
				Destroy after new census		
01528	Correspondence Pertaining to Cases			Agency: I	Records Center:	Archives Center:
				Place in KRC case files		
01527	Petitions and Supplemental Orders			Agency: I	Records Center:	Archives Center:
				Place in KRC case files		
298	Origin-Destination Surveys Roadside Interview Trip Report			Agency: 10	Records Center:	Archives Center:
				Destroy		
299	Household Travel Survey Questionnaires - (Completed)			Agency: 10	Records Center:	Archives Center:
				Destroy		
284	Special Federal Studies - Gas Rates, Drivers License, Motor Vehicle Registration - (May be computerized)			Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		
292	Kentucky Income Projections - (1975- 2010)			Agency: I	Records Center:	Archives Center:
				Destroy after new census		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Planning

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
275.1	Maintenance Card File Closed Date: 1/1/1979 Change Date: 3/1/1987			Agency: P	Records Center:	Archives Center:
				Retain in agency		
302	Federal Report and Accompanying Field and County Audit Reports - (PR535) - (Local Finance Report)			Agency: 10	Records Center:	Archives Center:
				Destroy		
303	Truck Weight Study Field Data Form			Agency: 5	Records Center:	Archives Center:
				Destroy		
304	Vehicle Classification Counts - (Field Count Sheet)			Agency: 1	Records Center:	Archives Center:
				Destroy		
01523	Short Notice Orders			Agency: 8	Records Center:	Archives Center: P
				Transfer to State Archives		
01524	Railroad Maps			Agency: 8	Records Center:	Archives Center: P
				Transfer to State Archives		
01525	Index Book For: Old Formal Complaints, Suspension Orders and Short Notice Orders Applications, Petitions, Orders, Old Ex Parte Cases			Agency: 8	Records Center:	Archives Center: P
				Transfer to State Archives		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Planning

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
271	Federal-Aid System File - (Highway Systems)		Maps, log book backup information and correspondence	Agency: P	Records Center:	Archives Center:
				Retain in agency		
272	Functional System - For Federal Government - (Highway Systems) -		Maps, log book backup information and correspondence	Agency: P	Records Center:	Archives Center:
				Retain in agency		
273	County General Highway Map (Printed Copy)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
274	City Maps			Agency: P	Records Center:	Archives Center:
				Retain in agency		
295	Weight-tables Bi- annual Report - (Printout from Federal Government)			Agency: 15	Records Center:	Archives Center:
				Destroy		
01520	Articles of Incorporation			Agency: P	Records Center:	Archives Center:
				Retain in Agency		
301	Nationwide Commodity Flow Survey Questionnaires - (Completed)			Agency: 10	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Planning

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
276	Official State Map			Agency: P	Records Center:	Archives Center:
				Retain in agency		
277	Socio-Economic Data - (Computer tape)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
01526	Election Certificates (Commission Members)			Agency: I	Records Center:	Archives Center:
				Place in personnel folder when certificate is received		
278	State Mileage File - (Computer tape)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
279	Truck Weight Data - (Computer tape)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
280	Annual State Mileage -(Computer tape)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
293	Traffic Estimates Correspondence and Reports			Agency: I	Records Center:	Archives Center:
				Destroy after twenty years, or after completion of road		
281	Sufficiency Ratings - (Highway Systems)			Agency: I	Records Center:	Archives Center:
				Destroy when updated		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Planning

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
282	Project Authorizations - (TD10-1) - (Copy)			Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		
300	Truck Travel Survey Questionnaires - (Completed)			Agency: 10	Records Center:	Archives Center:
				Destroy		
294	Traffic Volume Counts		Portable traffic recorder report; permanent traffic recorder report; 100 highest hourly traffic volume report	Agency: 20	Records Center:	Archives Center:
				Destroy		
275	Urban Area Maps			Agency: P	Records Center:	Archives Center:
				Retain in agency		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Plans, Specifications and Estimates

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03655	Plans, Specifications, Estimates Certification and Acceptance File - (Duplicate) (C) KRS 61,878 (1) (d) (h) Change Date: 6/14/1990	This series documents the plans and approval for any highway construction project throughout the Commonwealth. Plans, designs, engineering estimates, environmental studies, etc., in the form of a formal request must be submitted to the Federal Highway Administration for approval prior to any work being done on any particular road project. The Federal Highway Administration verifies that the work is needed, proposals are valid, and in compliance with current standards. If the project is not approved, suggestions are made to change the proposals. If the project is approved, permission is granted and the Transportation Cabinet can proceed with the work. Most projects are either accepted, altered, or discarded within a period of five years.	Series contains: Copies of plans, proposal, detailed estimates, clearance correspondence for Right of Ways or Utilities, letter of request, authorization for funds, official order	Agency: 5	Records Center:	Archives Center:
				Destroy after audit		
222	Letter of Authority or Notice to Proceed - (FHWA Form 1240)			Agency: 1	Records Center:	Archives Center:
				Destroy three years after submission of final design voucher		
03656	State Project Proposals - Working File (C) KRS 61.878 (1) (d) (h) Change Date: 6/14/1990	This series documents the plans and specifications under consideration by the Transportation Cabinet for any road construction and/or repairs throughout the Commonwealth. This information is compiled by the Division of Contract Procurement during the course of preparing a contract that establishes the legal terms that must be met in order to complete the road project. This working file is used by the Plans, Specifications, & Estimates Section to constantly review requirements according to changing road conditions, traffic conditions, etc. It is also used to verify that the job specifications outlined are, in fact, in keeping with federal regulations and standards. This information serves as the primary planning document for activities in this section. Any changes that are needed are noted and the information is passed to the Division of Contract Procurement for correction. Most projects are completed or re-written within a two year period.	Series contains: Estimates, correspondence, job specific notes, preliminary contract procurement	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Reproduction

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
220	Project Plans - (Originals and books)			Agency: I	Records Center:	Archives Center:
				Transfer to construction engineer when project is awarded		
221	Sepia Copy of Original Plans			Agency: I	Records Center:	Archives Center:
				Destroy five years after project contract is awarded		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Roadside Development

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
233	District Correspondence			Agency: 10	Records Center:	Archives Center:
				Destroy		
232	Correspondence Pertaining to Location of Roadside Parks, Rest Areas and Information Center			Agency: 10	Records Center:	Archives Center:
				Destroy		
231	Landscape Design Plans - (Original)			Agency: P	Records Center:	Archives Center:
				Retain in agency		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Roadway Plan Review

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
229	Roadway Plan Review Project Files		May include collections; project plan checklist and reference information used in the review and finalization of roadway plans	Agency: 5	Records Center:	Archives Center:
				Destroy		
228	Final As-Built Roadway Plans - (Microfilm)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
227	Retrieval Log - (Finding aid for plans transferred to the State Archives)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
226	Final As-Built Roadway Plans			Agency: I	Records Center: P	Archives Center:
				Transfer to the State Records Center after microfilming		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Specifications Staff

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
312	Specification Development File			Agency: P	Records Center:	Archives Center:
				Retain in agency		
313	Amendments and Special Provisions For Standard Specifications - (Duplicates)			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
314	Working Papers - (Specifications Preparations)			Agency: 1	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Standard Drawings

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
230	Reproducible Standard Drawings - (Typical Standards)			Agency: P	Records Center:	Archives Center:
				Retain in agency		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Traffic

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
457	Street and Bridge Lighting Files - (Installation plans)			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
452	Historical Markers File			Agency: P	Records Center:	Archives Center:
				Retain in agency		
466	Transportation Contracts - (Duplicate)			Agency: 4	Records Center:	Archives Center:
				Destroy		
459	Traffic Control Agreements - (City and county)			Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Traffic

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03452	Kentucky Accident Reporting System (KARS) - (Electronic) Change Date: 3/12/1998	This system was created to document information from a traffic environment, provide better services, and to improve highway safety conditions in an economical and efficient manner. The information in KARS comes from the Uniform Traffic Accident Report, which is sent to the Department of State Police (KSP) by law enforcement agencies across the state. KSP completes data entry and has read only access to the information in KARS. The Justice Cabinet and the Transportation Cabinet entered into an agreement that State Police will be responsible for programming and operation of the coding, entry and edit phases of KARS and the Transportation Cabinet will be responsible for the programming and operation of the retrieval and output phases of the system. The Division of Traffic uses the information to identify high accident locations and to suggest improvements at those locations. Electronic information is sent to the University of Kentucky for creation of Analysis of Traffic Accident Data in Kentucky, a yearly publication which contains five years worth of data.	Series contains: Master case number; county; route number; mile post; local code; agency identification; pre-accident vehicle action; location of damage injury; type of collision; contributing factors (human, vehicular, environmental); total traffic units involved; total through lanes in both directions; land/use locality; roadway surface condition and type; weather; roadway character; traffic control devices; light conditions; pedestrian action; direction of travel; suspicion of alcohol involved; method of determination of alcohol use; which vehicle occupied; positions of occupants in vehicle; safety equipment use; ejection from vehicle; location of injuries; classification of injury; extrication code; sex; and age	Agency: 3	Records Center:	Archives Center:
				Purge data from the system that are older than three years		
458	Signal Installation Files		Controllers beacons, flashers, signals	Agency: I	Records Center:	Archives Center:
				Destroy when obsolete		
454	Toll Ferries File		May include general correspondence folder, rules and regulations for operation of toll ferries, application for certificate of convenience and necessity, individual toll ferry folders	Agency: I	Records Center:	Archives Center: P
				Screen duplications and transfer to the State Archives Center when ferry becomes inactive		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Traffic

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04754	Traffic Accident Imaging System - (Electronic) Change Date: 3/12/1998	This system was created to capture information on the number, type, location and description of traffic accidents reported to the Department of State Police (KSP) by local law enforcement agencies across the state. The Uniform Traffic Accident Report is used to report the information. Upon receipt of the accident reports, KSP staff code and enter the information into the Kentucky Accident Reporting System (KARS), which is maintained by the Transportation Cabinet. After data entry by KSP, the hard copy accident report is transferred to the Transportation Cabinet to be scanned into the imaging system. The primary purpose of the system is to provide a mechanism to capture the diagram or drawing of the accident. Previously, the accident reports were microfilmed for this purpose. Information from the system is used to identify locations of high incidences of accidents and to determine if any improvements can be made to roads to prevent or decrease future accidents. The information also is used in "hazard elimination projects", which are federally subsidized improvements to roads or roadside structures. Comparison data is made available to the Federal Highway Administration. The accepted standard nationally for identification of high accident locations is three years. *Each disk holds 1.3 gigabytes.	Series contains: Local code; agency identification number; name of investigating agency; number killed; number injured; investigation completion note; hit and run note; day of the week; military time; date; intersection; one way note; ramp; direction; mile post; speed limit; operator's license number, state, restriction and compliance note, name, address, date of birth; owner name, vehicle make; model; registration number; insurance company name, address; fire/overtaken note; estimated speed; hazardous cargo note; drawing of accident; property damage note; time of ambulance arrival; witness names and addresses; citations; and officer's signature	Agency: 3	Records Center:	Archives Center:
				Purge data from the system that are older than three years. Destroy hard copy report after scanning and verification		
465	Transportation Contracts - Utility Companies - (Duplicate) -		Includes purchase requisitions, invoices, bills	Agency: 4	Records Center:	Archives Center:
				Destroy		
451	High Accident Location Studies			Agency: P	Records Center:	Archives Center:
				Retain in agency		
463	Speed Zone Studies Correspondence			Agency: 5	Records Center:	Archives Center:
				Destroy		
464	Review Work of Highway Design			Agency: 5	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Highways, Department of  
Traffic

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
467	Secondary Distribution - (Duplicate) - (TD31- 102)			Agency: 2	Records Center:	Archives Center:
				Destroy		
456	Speed Zone Files		May include request for speed zone investigation, log and sketch, radar speed study, recommendations bases on study, and when recommendation is accepted official order for speed zone on designated highway	Agency: 1	Records Center:	Archives Center:
				Destroy when obsolete		
462	Transportation Contracts, City of Louisville		Installation of lights on state maintained systems	Agency: 8	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Legal Services, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
05006	Case File - Condemnation For Right of Way (C) KRS 61.878 (1) (i) (j) Change Date: 3/8/2001 (V)	This series documents the legal files that relate to the Cabinet's acquisition of real property. Under the terms of KRS 177.250, highway authorities of the state, county or city may acquire private or public property and property rights for limited access facilities and service roads, including rights of access, air, view and light, by gift, devise, purchase or condemnation, in the same manner as such units are authorized by law to acquire property or property rights in connection with highways and streets within their respective jurisdictions.	Series contains: Pleadings; settlements, property descriptions; plan sheets; and copies of deeds	Agency: 1	Records Center: 14	Archives Center:
				Transfer to the State Records Center after case closure		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Legal Services, Office of  
General Counsel

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
151	Case File - General		May include injunctions, encroachments, takings, contracts	Agency: I	Records Center:	Archives Center:
				Destroy after final judgment		
150	Case Files - Board of Claims			Agency: I	Records Center:	Archives Center:
				Destroy after decision becomes final		
152	Central Office Attorney's Case Files and Assigned Matters - Working Papers			Agency: I	Records Center:	Archives Center:
				Destroy when no longer useful		
149	Property Damage Files		In cases of injury or damage to state highway property by individuals, the Office of General Counsel is responsible for collection reimbursement	Agency: I	Records Center:	Archives Center:
				Destroy one year after final payment		
148	Workman's Compensation Action Files			Agency: I	Records Center:	Archives Center:
				Destroy five years after final payment		
146	Case Docket Books - Board of Claims			Agency: P	Records Center:	Archives Center:
				Retain in agency		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Legal Services, Office of  
Right of Way

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
165	Qualification and Performance Records - Fee Appraiser, Fee Buyer and Court Witness			Agency: I	Records Center:	Archives Center:
				Destroy three years after last contract assignment		
161	Log Books For Relocation Assistance		May contain date computations received, amount, approval date, name occupancy status, date relocated, dates and amounts paid for moving expenses, closing costs, conventional financing requirements, mortgage interest and interest rates paid by commercial banks on pass book savings accounts throughout the state	Agency: P	Records Center:	Archives Center:
				Retain in agency		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Legal Services, Office of  
Right of Way

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
162	Project File - Historical - (Federal and State) (C) KRS 61.878 (1) (e) Administrative Change Date: 5/1/1990 (Series 163 deleted - now in 162) (V)	This series documents road/bridge construction projects of the Department of Transportation. This series originates when an Administrative Order (M0003) is issued to begin a project. The Department then proceeds to purchase land in the right of way of the construction. Sometimes the court is required to make a decision on a fair purchase price. However, the state has eminent domain in the purchase of easement or right of way. The right of eminent domain is the right of the state, through its regular organization, to reassert, either temporarily or permanently, its dominion over any portion of the soil of the state on account of public exigency and for the public good. Therefore, the legislature may authorize the appropriation of same to public purposes, such as the opening of roads, construction of defenses, or providing channels for trade or travel. NOTE: The Department of Transportation's copy of deeds, (Project File- Deeds, NOS), pertaining to the Project Files -series 162, are maintained separately and kept in agency. *reference dependent on activity of project.	Series contains: Administrative files; appraisal, commissioner's report, notice of excess, improvement record, relocation assistance, conceptual stage reports and estimates, relocation plan reports and inventories, individual relocation assistance, parcel file-relating to contracts, claims and payments, sign and billboard acquisitions records, appraisal summaries, comparable sale reports., CH documents (authorization for expenditure of funds from the Division of Finance. Historical files: cost breakdown, order and judgements, record of negotiations, memo of understanding, project working plan (reduced copy when possible), grave removal contract file containing the contract, consent and authorization agreements records and plats of disinterment and reinterment cemeteries	Agency: I	Records Center: P	Archives Center:
				Transfer to the State Records Center when project is completed		
160	Line Copies - Notebooks - (Established for each county)		May include duplicates of acquisition orders, pay vouchers, credit vouchers, expense files by county/turnpike	Agency: P	Records Center:	Archives Center:
				Retain in agency		
159	Deed Files			Agency: 10	Records Center:	Archives Center: P
				Transfer to the State Archives Center		
166	Prospective Appraisers Records			Agency: 4	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Legal Services, Office of  
Utilities

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
169	Right of Way Utility Plans - (Duplicate)			Agency: I	Records Center:	Archives Center:
				Destroy when project is completed		
168	Individual Company Project File - (Duplicate) -		May include Notification of Utility Relocation and/or Adjustment (TD-69-5); Weekly Progress Notes (TD- 69-7); Statement of Charges Covering Changes in Facilities in Accordance with Executed Agreement and Official Order-Accompanies all billings and attached to final bill from company - (TD- 69-8); Change Order (TD-69- 4); utilities adjustment - amount of D.O.T. participation and summary of established cost and federal aid funds for utilities (V-6); contract agreements between D.O.T. and utility company with provision for future obligation	Agency: I	Records Center: 3	Archives Center:
				Transfer to the State Records Center when project is completed		
167	General Project File		May include correspondence; official orders; programming documents; project cost estimates; no charge letters	Agency: I	Records Center: 3	Archives Center:
				Transfer to the State Records Center when project is completed		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Personnel Management, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
727	Retirement Listing - All Employers - (Computer Printout)			Agency: 1	Records Center:	Archives Center:
				Destroy		
724	Service Record Report			Agency: 10	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Personnel Management, Office of  
Employee Support

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
711	Safety Inspections			Agency: 2	Records Center: 3	Archives Center:
Transfer to the State Records Center						
712	Injury and Accident Investigations			Agency: 2	Records Center: 3	Archives Center:
Transfer to the State Records Center						

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Personnel Management, Office of  
Equal Employment Opportunity Coordinator

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
10	Equal Employment Opportunity and Title VI Review, Results and Recommendations by Secretary			Agency: 5	Records Center:	Archives Center:
				Destroy		
7	Official Order - Equal Employment Opportunity - (Original)			Agency: P	Records Center:	Archives Center:
				Retain in agency		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Personnel Management, Office of  
Personnel Management

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
721	Microfilm Index Panels			Agency: P	Records Center:	Archives Center:
				Retain in agency		
725	Personnel Register Certification			Agency: 5	Records Center:	Archives Center:
				Destroy		
726	Position Control - (Workbook)			Agency: 5	Records Center:	Archives Center:
				Destroy		
728	Merit Increase Listing - (Computer Printout)			Agency: 1	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Support Services, Office of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
04072	United Parcel Pickup Register Change Date: 12/12/1991	This series documents the Cabinet's shipment of parcels and packages by United Parcel Service (UPS). Its primary purpose is to substantiate billings and to provide information with which to trace missing or lost items. The Cabinet's Division of Accounts is responsible for making all payments to UPS.	Series contains: Number of packages sent each day, pickup dates, meter readings, and correct pricing	Agency: 3  Destroy after audit	Records Center:	Archives Center:
04073	Federal Express Air Bills Change Date: 12/12/1991	This series serves as the Cabinet's record of shipments by Federal Express. Its primary purpose is to substantiate payments due Federal Express. All payments are made to Federal Express by the Cabinet's Division of Accounts.	Series contains: Identifies the receiver of the package, weight of the package, shipping order number, zip code for delivery, copy of air bill	Agency: 3  Destroy after audit	Records Center:	Archives Center:
04075	Certified Mail Log Book Change Date: 12/12/1991	This series serves as an index to locate individual certified return mail receipt cards. It provides the Mail Services Section with specific information on which Division or Section has utilized the certified mail service. Additionally, it is used to answer inquiries when questions arise regarding the date a certified letter was mailed by the Section and whether the receipt card was returned.	Series contains: Name and address of sender, type of mail, article number, name and address of addressee, postage fee, return receipt fee, total number of pieces, signature of post office representative, date signed, official post office stamp reflecting the day's activity	Agency: 2  Destroy	Records Center:	Archives Center:
04074	Certified Mail Return Receipt Cards Change Date: 12/12/1991	All mail sent or received by the Transportation Cabinet is centrally processed by the Mail Services Section. This series verifies the receipt of certified mail sent by the Cabinet on a daily basis. The Section processes approximately 300 individual items for certified delivery each month. The information is recorded on U.S. Postal Form 3811. Because the series serves as verification that items sent to a recipient have been received, it may be used by the Cabinet's legal staff during court proceedings. A primary user of certified mail services within the Cabinet is the Division of Contract Procurement.	Series contains: To whom delivered, addressee address, restricted delivery, article addressed, article number, type of service, signature of addressee, signature of agent, date of delivery	Agency: 2  Destroy	Records Center:	Archives Center:



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Support Services, Office of  
Facilities Support, Division

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
760	Yearly Garage Equipment List			Agency: 1	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Support Services, Office of  
Facilities Support, Division of

Records Title		Retention	
Series	and Description	Function and Use	Disposition Instruction
783	Monthly Report of Permanently Assigned Vehicles - (TD78-5)		Agency: 1 Records Center: Archives Center:  Destroy three years after disposal of vehicle and audit
798	Equipment Transfer - (TD78-7) - (Original)		Agency: 2 Records Center: Archives Center:  Destroy
751	Supply Requisition - (Within Department) - (TD76-601)		Agency: 3 Records Center: Archives Center:  Destroy after audit
758	Office Equipment Annual Listings - (Annual Report) - (Printout)		Agency: 1 Records Center: Archives Center:  Destroy
754	Equipment Transfer of Office, Engineering, and Laboratory Equipment		Agency: 2 Records Center: Archives Center:  Destroy
755	Schedule of New Office Equipment		Agency: 2 Records Center: Archives Center:  Destroy
756	Request for Removal of Office, Engineering, and Lab Equipment		Agency: 2 Records Center: Archives Center:  Destroy

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Support Services, Office of  
Facilities Support, Division of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
759	Specific Office Equipment Periodic Listings - (Printout)			Agency: 1	Records Center:	Archives Center:
				Destroy		
785	Request for Permanent Assignment of Motor Vehicles - (Original) - (TD78-4)			Agency: 1	Records Center:	Archives Center:
				Destroy when vehicle disposed of		
797	Award of Contract - (TD31-128) - (Duplicate)			Agency: 2	Records Center:	Archives Center:
				Destroy		
750	IBM General and Subsidiary Ledger Monthly Transaction Register			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
803	Uniform Police Traffic Accident - (DSP-74) - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy		
802	Agency Request for Quotation - (TD73- 107) - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy		
799	New Road Equipment Received by Central Garage - (TD74-105) - (Original)			Agency: 1	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Support Services, Office of  
Facilities Support, Division of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
784	Trip Ticket - (TD78-5)			Agency: 1	Records Center:	Archives Center:
				Destroy three years after disposal of vehicle and audit		
790	Daily Report of State Car Pool - (Duplicate) - (TD78-6)			Agency: 2	Records Center:	Archives Center:
				Destroy		
801	Petroleum Product Issue - (TD74-22) - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy		
800	State Owned Personal Property Declared Surplus - (B217-2) - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy		
761	Office Equipment Assignment List (Year)			Agency: 1	Records Center:	Archives Center:
				Destroy		
796	Budget Change - - (TD30-100) - (Duplicate)			Agency: 2	Records Center:	Archives Center:
				Destroy		
791	Permit for Motor Pool Vehicles - (Duplicate) - (TD78-8)			Agency: 2	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Support Services, Office of  
Facilities Support, Division of

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
792	Stockroom Window Tickets - (TD74- 24)			Agency: 2	Records Center:	Archives Center:
				Destroy		
793	Stock Transfer - (TD74-109)			Agency: 2	Records Center:	Archives Center:
				Destroy		
794	Application to Purchase Suppliers State Vehicles - (Duplicate) - (B217- 42B)			Agency: 2	Records Center:	Archives Center:
				Destroy		
787	Garage Repair Order and Work Sheet - (Duplicate)			Agency: 1	Records Center:	Archives Center:
				Destroy when vehicle disposed of		
752	Journal Vouchers, Copies of Invoices, Inter-Account Bills and TD31-102 Distribution Sheet to State Agency			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
789	Schedule of Equipment Junked - (Duplicate) - (HD74- 202)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
749	Ledgers General, Subsidiary Backup			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Support Services, Office of  
Facilities Support, Division of

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
795	Approval Form for Purchases of Motor Vehicles - (Duplicate) - (B111-25)			Agency: 2	Records Center:	Archives Center:
				Destroy		
04070	Forms Management Program Files Change Date: 12/12/1991	This series was created to provide the Division's Policy and Procedures Development Branch with current information on all forms maintained and created throughout the Cabinet. The Branch is responsible for all activities relating to Forms Management including creation, revision and printing. This series aids in the elimination of duplication of forms and ensures that each form in use throughout the Cabinet meets prescribed standards. It also ensures that the most current forms are referenced and exhibited in appropriate manuals of operation.	Series contains: A copy of each form, including drafts, proofs and approved copies. It also contains requests to print, reprint or revise forms and location of where excess copies of the forms are stored	Agency: 1	Records Center:	Archives Center:
				Retain the three latest revisions of each form. Destroy remainder of file when no longer needed		
729	Property Project and/or Parcel Folder Change Date: 12/11/1986		May include lease agreement; lease agreement modification; inter-agency lease agreement; space request form; advice of change in order; real property permits; lease with option to purchase agreement; property easements; deeds; surveys; plats; appraisals; title reports; real property inventory forms; standard invoice; appraisal agreements; professional employment register; proof of necessity for professional employment; appraisal fee estimates; appraisal fee proposals; application for professional employment; request for service contracts; and related correspondence	Agency: 1	Records Center:	Archives Center: P
				Transfer to the State Archives Center two years after property has been sold		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Support Services, Office of  
Facilities Support, Division of

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
730	Transportation Building Project Folder		May include Award of Contract (TD 73-138), Form San 150 Survey Sheet, Receiving Report (TD 73-124), Contractors Work Estimate (TD 14-6), Contractors Pay Estimate (TD 14-7), Advice of Change (TD 75-10), Final Release (TD 14-5), Agency Request for Quotation (TD 73-102), Sampling Form (TD 64-2), Project Authorization (TD 10-1), Specifications for Highway Buildings, Shop Drawings, Department of Finance Invoice and Receiving Report (E 102), Pay Voucher (TD 31-4), CH & TCT purchase contracts, boiler inspections, Fire Marshal and Health Department Reports, Purchase Requisitions (TD 73-101), related documents	Agency: I	Records Center:	Archives Center:
				Destroy five years after disposal of building		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Support Services, Office of  
Facilities Support, Division of

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
731	Environmental Project Folder - (Duplicate) -		May include Invitation for Bids, Plans and Specifications, Advice of Change in Order (TD 73-103), Standard Invoice (TD 31-519), Weekly Labor Payroll (TD 10-308), shop drawings, as built drawings, bid tabulations, Form of Proposal Purchase Requisition (TD 73-101), Natural Resources and Environmental Protection Cabinet Construction permit, percolation test form, Award of Contract (TD 73-128), Survey Sheet (Form San 150), Receiving Report (TD 73-124), Final Release (TD 14-5), Agency Request for Quotations (TD 73-102), Project Authorization (TD 10-1), Dept. of Finance Invoice and Receiving Report (E 102), purchase contracts (CH & TCT), related documents and correspondence	Agency: I	Records Center:	Archives Center:
				Destroy five years after disposal of property		
732	Maintenance Project Folder - (Duplicate) -		May include Receiving Report (73-124), Advice of Change (73-103), Agency Request for Quotation (73-102), Inter-Account Bill (P-15), Budget Change (TD 30-100), Pay Voucher (TD 31-4), contracts (TCT & CH), Garage Repair Order (TD 74-201), price contracts and emergency price contracts, boiler inspection, preventive maintenance building reports, related documents	Agency: I	Records Center:	Archives Center:
				Destroy five years after disposal of property		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Support Services, Office of  
Facilities Support, Division of

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
743	Transportation Purchase Contract Folder - (Filed by Transportation contract (TCT) number, type of maintenance project and company)		May include copies of purchase requisition, requests for delivery, delivery tickets, weight tickets, weithman's daily report, test reports, Invoice Receiving Report 102, Distribution Sheet Form 3	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
746	Request for Interaccount Purchases (Memo)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
786	Motor Vehicle Bill of Sale Usage Tax Return - (Duplicate) - (TD78-222)			Agency: 1	Records Center:	Archives Center:
				Destroy when vehicle disposed of		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Driver Licensing Division

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
6	Receipts for Funds Collected		Motor vehicle record, alcoholic driver education enrollment, re-instatement fees, traffic enrollment fees, etc.	Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
11	Alcohol Driver Education Roster (C) KRS 61.878(1)(a)	This series documents individuals attending alcohol programs approved by the Transportation Cabinet.	The series contains the name, Social Security Number and date of birth of attendees.	Agency: 1	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
7	Kentucky Personal Identification Cards	Prior to November 1991, when Identification Cards were issued and updated in the computer system they were boxed and sent to the State Records Center. This procedure has now been computerized and the manual procedure has been discontinued.		Agency: 1 month	Records Center:	Archives Center:
				Transfer to the State Records Center. Destroy after three years and audit		
5	Kentucky Operator's License Stubs - (Manual and Computer Generated)	This series documented the stubs of a three part form used by Circuit Court Clerks when an individual received an original or renewal driver's license. The stub was sent to the fee accounting section to update the driver's license expiration date and to enter data onto the Driving History Record.		Agency: 1 month	Records Center:	Archives Center:
				Transfer to the State Records Center. Destroy after three years and audit		
05668	Fail to Answer Court Summons - Out of State (C) KRS 186.018 KRS 186.412 (V)	This series documents the process of possible suspension of driving licenses due to failure to comply with summons from cooperating out of state courts. An out of state court summons notice is sent to the Division of Driver Licensing from any of the 45 states participating in the Non-Resident Violator Compact (NRVC) for possible license suspension for failure to comply with those courts. When the court summons notice is keyed on the driving record the driver is notified by letter giving a time period to comply. The original court summons with information from the court is sent along with the letter. If the driver has not complied within the allotted time, the driving license is suspended. When the driver complies, another document is received by the Division either from the out of state court, or from the driver, showing that the summons has been satisfied.	Series may contain: driver license number, date of birth, social security number, home address, court location and phone number, violation and violation date, vehicle identification, proof of satisfaction date, failure to comply date, court date, fine amount, case number.	Agency: 90 days	Records Center: 1 year	Archives Center:
				Transfer to State Records Center and destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Driver Licensing Division

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
03944	Refusal of Chemical Test Hearing File Change Date: 3/14/1991 (V)	This series documents the hearing procedures which result when it is brought to the attention of the Department that an individual under arrest has refused to submit to chemical testing when there was cause to believe the individual was operating a vehicle under the influence of alcohol or other chemical substances. The Department is notified, in the form of an affidavit from a law enforcement official, of the refusal. Pursuant to KRS 186.565 (3), the individual is requested to appear before a Department Hearing Officer to show cause why the license should not be revoked. Revocation of a license cannot exceed six months. Hearings will be held no sooner than 20 days from the issuance of the notice to appear. A ruling must be signed within ten days of the hearing. Decisions of the Department may be appealed to Circuit Court within 20 days of the action. If the case is appealed to Circuit Court, revocation of the license is suspended pending final determination of the review.	Series contains: Refusal affidavit; hearing notification; certified mail information; appeals; transcripts; subpoenas; correspondence; and/or rulings and tapes of hearings on appeals	Agency: 1	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
05634	Civil Judgments - In State (C) KRS 61.878(1)(a) Change Date: 6/21/2007 (V)	This series documents civil judgments rendered in the state of Kentucky against licensed drivers that are entered on the Driver History Record. The types of judgments include Defaults, Agreed Orders and Bankruptcies. Civil judgments may generate a driving license suspension. The series also documents when civil judgments are satisfied and any sanctions against driving privileges are removed. Driver History Records in the Kentucky Drivers License Information System (KDLIS) with civil judgments noted are excepted from the standard retention for that series and retained for a longer period, as is the supporting documentation. Limitation of action related to these judgments is fifteen years per KRS 413.090.	This series includes driver name, license number, address, Social Security number, relevant case #'s, dates of accidents, types of judgments, judge's signature, issuing court and date judgement is signed.	Agency: 15 years	Records Center:	Archives Center:
				Destroy 15 years after the date the judgment was signed.		
10	Expired Operator's License	This series documents expired driving licenses. When drivers obtain a renewal license, the expired license is surrendered to the clerk's office. Clerk's office would forward all expired licenses to the Driver Licensing Division, where they were kept for one month and then destroyed by burning. This procedure has been discontinued as expired licenses are now shredded.		Agency: 1 month	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Driver Licensing Division

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03657	Driver License Transaction Register - (KYDIS Printout) Change Date: 6/14/1990	This series documents the driver history of any Kentucky licensed driver. Driver's licenses are issued through circuit clerks' offices in Kentucky and are regulated through the Department of Motor Vehicles, Division of Driver Licensing. Any changes in personal data or license status is reported weekly to Driver Licensing by the appropriate circuit clerk. This information is then entered in the Kentucky Driver Information System (KYDIS) where it is stored, tabulated, and manipulated in a variety of fashions. The information contained in this series documents any changes that have occurred in an individual's driving history. It is used to verify that the information entered and maintained in the Driving History Records (Series 2) is accurate. Since it identifies the person initiating the changes, it is used to investigate any discrepancies found in the history. Most discrepancies are challenged and resolved within a period of five years.	Series contains: Job number, process date, transaction code, source, section, clerk, mail code, issue type, driving history request indicator, driver license number, error message code, date of birth, change codes	Agency: 5  Destroy	Records Center:	Archives Center:
03531	Alcohol Driver Education Data Packet Change Date: 12/14/1989	This series documents the activities of the Alcohol Driver Education Program administered by the Transportation Cabinet. Participation is generally as a result of a conviction for being under the influence of an intoxicant while operating a motor vehicle. Classes are held statewide and are dependent upon convictions in any given county. This class is used to try to deter future unacceptable behavior. As of August, 1989, the Human Resources Cabinet will administer this class, although, the Transportation Cabinet will monitor the subject content. Since this information will no longer be collected by the Transportation Cabinet, this records series is closed. This packet contains a data questionnaire that, when completed, will give an anonymous statistical profile of that individual's drinking and driving habits. This information is used to compile the yearly publication mentioned above. It also contains a pre-test questionnaire that, when completed, will reflect anonymous knowledge about the effects of alcohol. After completing the course, a post-test questionnaire measures the participant's knowledge for comparison purposes. It also has an evaluation form that, when completed, will give the participant's opinion of instructor performance. This information is used to administratively monitor the instructor's performance.	Series contains: Data questionnaire, pre-test, post-test, evaluation form	Agency: 1  Destroy one month after verification of statistics	Records Center:	Archives Center:
03530	State Traffic School Data Packet Change Date: 12/14/1989	This series documents the activities of the State Traffic School administered by the Transportation Cabinet. Participation is generally as a result of a traffic law violation and conviction (speeding, racing, etc.). Classes are held statewide and are dependent upon convictions in any given county. This packet contains a data questionnaire that, when completed, will give an anonymous statistical profile of that individual's traffic law knowledge and driving habits. This information is used to compile the yearly publication mentioned above. It also has an evaluation form that, when completed, gives the participant's opinion of instructor performance. It is used to administratively monitor the instructor's performance.	Series contains: Data questionnaire, evaluation forms	Agency: 1  Destroy one month after verification of statistics	Records Center:	Archives Center:

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Driver Licensing Division

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
05635	Civil Judgments - Out of State (C) KRS 61.878(1)(a) (V)	This series documents civil judgments rendered by courts outside the state of Kentucky against individuals who hold a valid Kentucky drivers license. These out of state judgments are entered on the Driver History Record. The types of judgments include Defaults, Agreed Orders and Bankruptcies. Civil judgments may generate a driving license suspension. The series also documents when civil judgments are satisfied and any sanctions against driving privileges are removed. Driver History Records in the Kentucky Drivers License Information System (KDLIS) with civil judgments noted are excepted from the standard retention for that series and retained for a longer period, as is the supporting documentation. Limitation of action related to these judgments is fifteen years per KRS 413.090.	This series includes driver name, license number, address, Social Security number, relevant case #'s, dates of accidents, types of judgments, judge's signature, issuing court and date judgement is signed.	Agency: 15 years	Records Center:	Archives Center:  Destroy 15 years after the date the judgment was signed.
05665	Out of State Convictions/CDL	The series documents violation warning letters sent to Kentucky holders of Commercial Drivers Licenses regarding possible license suspension due to convictions in out of state courts.	Series may contain: driver's license number, driver's name, date of birth, Social Security number, location of court in which convicted, violation, citation date, conviction date, case number, offense and state.	Agency:	Records Center:	Archives Center:
05708	Circuit Clerk's Reports Previously series #4 Change Date: 11/1/1991	Prior to November 1991, the Circuit Clerk's offices sent in a daily report showing all licenses (original, renewal, duplicated), instruction permits and identification cards issued and the amount of money collected for these. A monthly report was also prepared. Since 1991 all of these reports are computerized and viewed as needed and the manual, paper process has been discontinued.		Agency: 2	Records Center:	Archives Center:  Transfer to the State Records Center. Destroy after three years and audit
05707	Suspended/Revoked Operator's License Previously series #3 Change Date: 5/3/2007	When suspended or revoked licenses were received by the Driver Licensing Division with time left before the original expiration date these were maintained in a file. When the suspended period had been served and the driver had complied with the reinstatement procedures, the driving privilege was reinstated and the original license was returned to the driver. This procedure was discontinued some years ago. Suspended and revoked licenses are now shredded when received in Driver Licensing.	Actual, physical operator's license that was originally issued to the driver.	Agency: Indefinite	Records Center:	Archives Center:  Destroy when received in the Driver Licensing Division.
04717	Graduated License Course Roster Change Date: 9/11/1997	This series documents those individuals who have participated in a Graduated Licensing Education course. It is used to verify class participation, in the event of inquiries.	Series contains: Location code; location; class date, time; driver's signature, full name, driver's license number, date of birth, social security number; signature of instructor	Agency: 3  Destroy	Records Center:	Archives Center:

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Driver Licensing Division

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
156	Breathalyzer Refusal Hearings File Closed Date: 7/15/1991			Agency: 1	Records Center:	Archives Center:
				Destroy five years after administrative decision becomes final		
8	Driver Improvement Clinic Roster			Agency: 1	Records Center: 5	Archives Center:
				Transfer to the State Records Center		
04716	Graduated License Instructor Guide Change Date: 9/11/1997	This series was created to provide a teaching guide for the purpose of instructing 16 to 18 year old licensed drivers, under the Graduated Licensing Program. The course is taught by an instructor trained and certified by Eastern Kentucky University, which administers the educational portion of the Program. The Program has three phases: 1) permit; 2) provisional; and 3) adult licensing. During the permit phase, the individual must be 16 years of age and must hold the permit for a minimum of 180 days. In the provisional phase, the individual must pass a driving skills test and complete a Graduated Licensing Education course. To receive an adult license, the individual must be at least 18 years of age.	Series contains: Administration of classes, course goals, key concepts; description of goals and policies; driver licensing information; driving behavior; highway safety facts; traffic laws; traffic crash causation, defensive, perceptive driving; driving under the influence; occupant protection; program summary and evaluation; supplemental materials	Agency: 1	Records Center:	Archives Center:
				Update as changes occur		
05633	Driving History Records (Replaces original series # 2) (C) KRS 61.878(1)(a) Change Date: 6/21/2007 (V)	This series documents information relevant to the driving history record of each person who is licensed to operate a motor vehicle by the Commonwealth of Kentucky in accordance with KRS 186.018. Driving history records document moving traffic convictions, driving license issuances and suspensions, driver education courses and legal and administrative actions. The KRS requires that records of moving convictions be destroyed after 5 years and not maintained. Driving History Records are utilized by Transportation Cabinet employees, Circuit Court Clerks offices, law enforcement officials and court officials such as pre-trial service employees and Commonwealths Attorneys, and the general public. The Cabinet is allowed by statute to charge a fee for providing a Driving History Record. Driver histories are regularly purchased by the general public, insurance companies and employers or prospective employers.	Series may include, but is not limited to: Abstracts of convictions; refusal of chemical tests; affidavits; appeals; probation of out-of-state driving while intoxicated (DWI) convictions, suspended and revoked driver's license; and violations after a driver improvement clinic.	Agency: Indefinite	Records Center:	Archives Center:
				Destroy five years after record becomes inactive.		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Driver Licensing Division

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
04718	Graduated License Data Packet Change Date: 9/11/1997	This series was created to provide statistical data for periodic statistical reports and for completion of the Program's annual report. It is administered in two phases. The first is the pretest, which determines how much knowledge students have about driving and driving requirements before completing the Graduated Licensing course. The second phase is the post-test, which measures how much knowledge was gained as a result of course completion.	Series contains: Personal Data Questionnaire, which provides demographic data, such as sex, age, education, marital status of the student; frequency of seat belt use; number of traffic accidents; number of citations; high school grade point average; if class benefited participant. Also includes a pretest, which includes true/false questions about driving and traffic facts, and a post-test, which tests knowledge acquired after course completion	Agency: I	Records Center:	Archives Center:
				Destroy one year after creation of annual report		
05667	Failure to Answer Court Summons (C) KRS 186.018 KRS 186.412 (V)	This series documents the process of possible suspension of driving licenses due to failure to comply with a court summons. Notice is sent to the Division of Driver Licensing from the county district courts for possible suspension for failure to comply with the courts. When the court summons notice is keyed on a driving record the driver is notified by letter giving a time period to comply and information about the court and the summons. Once the driver complies another document is received from the court showing proof of the summons being answered. This is a copy of the original court summons notice showing the date that the court has been satisfied. If the court summons notice is not complied with a withdrawal letter for failure to answer summons is generated.	Series contains: driver license number, date of birth, Social Security number, home address, court location, violation and violation date, case number, failure to appear date, proof of satisfaction date, vehicle identification, employment information.	Agency:	Records Center:	Archives Center:
05666	Medical Waiver Program (C) KRS 61.878(1)(a)(j)	This series documents the medical waiver process for holders of a Commercial Driver's License (CDL) to allow them to continue driving under certain conditions. Medical waivers were established in October 1991 under 601 KAR 11. The CDL section of the Vehicle Regulation Department has the responsibility to make the final decision as to whether or not to issue a medical waiver card based on the driver's condition and relevant state and federal guidelines. A medical waiver file is established when it is brought to the attention of the CDL section from a Dept. of Transportation physical that an individual has failed to meet the federal guidelines to drive commercially. The individual must submit their DOT physical exam results and the necessary waiver forms signed by the appropriate physicians for the CDL section to issue a medical waiver to allow the license holder to continue driving.	Series contains: complete medical and visual examinations, psychiatric evaluations, driving records, correspondence, referral documents, affidavits and findings of the Medical Review Board.	Agency: 5 years	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Driver Licensing Division

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03943	Medical Review Board Cases (C) KRS 61.878 (1) (a) (j) Change Date: 3/14/1991	This series documents the activities of the Department and the Medical Review Board in determining whether any applicant for or holder of a valid Kentucky Operator's License has physical or mental disabilities which affect or limit driving ability, or make it unsafe for the individual to operate a motor vehicle upon public highways. The Medical Review Board, which was established in June 1964 under the terms of 601 KAR 13:010, has the responsibility to make the final decision as to whether an individual's license should be denied, suspended or limited. The Board is composed of the Commissioner of the Department and at least three physicians. A case file is established when it is brought to the attention of the Department, in the form of a affidavit from a close relative, county attorney, or law enforcement official, that an individual's driving ability may be impaired. The individual must then submit to medical examinations, the results of which are used by the Board to make its final decision. A case is considered closed when released by the Board.	Series contains: Complete medical and visual examinations; psychiatric evaluations; driving records; correspondence; referral documents; affidavits; and the findings of the Board	Agency: I	Records Center:	Archives Center:  Destroy five years after case is released by the Medical Review Board



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Hearings

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
04544	Application for Motor Carrier Operating Authority Hearing Files Change Date: 12/14/1995	This series documents hearings on applications for authority to operate motor carriers, as required in 601 KAR 1:030 and KRS Chapter 281. It is limited to passenger carriers (buses, taxis, airport shuttles, etc.) and household goods carriers (trucking companies). For an application to be approved, there must be a need for another carrier, referred to as proof of public convenience and necessity. Applications may be denied if applicant fails to show the necessity for another carrier and current carriers prove existing services are adequate. Also, denial may result if the applicant cannot prove financial ability and that he has the proper facilities and equipment to operate as a motor carrier. The department is required to give a minimum of 30 days' written notice of all hearings to known, required and interested parties. Current carriers wishing to protest the pending applications must have written comments submitted to the department within ten days of the hearing. If the application goes unprotested, the applicant can submit his proof of public convenience and necessity by affidavit. Final order approving or denying the application is the sole responsibility of the Commissioner, Department of Vehicle Regulation. After issuance of the final order, the applicant has 20 days in which to appeal the decision to Circuit Court. The certificate to operate as a motor carrier is issued by the Division of Motor Carriers. The fee for filing an application is \$25. If an applicant is denied or his certification revoked, the process must begin anew. Renewals are the responsibility of the Division of Motor Carriers.	Series contains: Application for operating authority; notice of hearing; protests from existing carriers; affidavits; hearing transcript	Agency: I	Records Center:	Archives Center:
				Destroy three years after case closure and all appeals have been exhausted, and after audit		
04551	Motor Carrier Order Books Change Date: 3/12/1986			Agency: 0	Records Center:	Archives Center: P
				Entire series transferred to the State Archives Center January 1986		
04553	Truck History Books Change Date: 1/1/1986			Agency: 0	Records Center:	Archives Center: P
				Entire series transferred to the State Archives Center January 1986		
04552	Bus History Books Change Date: 3/12/1986			Agency: 0	Records Center:	Archives Center: P
				Entire series transferred to the State Archives Center January 1986		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Mass Transportation

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
41	Informational Data Printouts			Agency: 2	Records Center:	Archives Center:
				Destroy		
40	Mass Transit Technical Studies		Working papers, data forms, reports	Agency: 5	Records Center:	Archives Center:
				Destroy		
39	Special Engineering Studies - (Data and reports)			Agency: 5	Records Center:	Archives Center:
				Destroy		
36	Agreements for Consultant Studies - (Dulicate) (Vouchers and supporting documents attached)			Agency: 1	Records Center:	Archives Center:
				Destroy at completion of report		
33	Mass Transportation Study Reports		Includes departmental and consultant studies	Agency: 1	Records Center:	Archives Center:
				Retain one copy permanently in agency. Destroy excess copies when no longer useful		
35	Benefit Analysis Worksheets			Agency: 1	Records Center:	Archives Center:
				Destroy when project is under construction		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Carriers

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
81	Interstate Commerce Commission Certificate File			Agency: 2	Records Center:	Archives Center:
				Destroy		
76	Cash Receipts			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
84	Non-Reciprocal Trip Permits Change Date: 12/1/1983			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
04614	U-Drive-It Application for Fee Receipt Card File - (TC95-53) Change Date: 9/19/1996 (V)	This series documents the application for a fee receipt card, which must be present in each u-drive-it vehicle owned by the permit holder, as required in KRS 281.615 (1) and 281.625 (8). The receipt card is the identifying document for each u-drive-it vehicle entered into the Automated Vehicle Information System (AVIS). The term "u-drive-it" means any person who leases or rents a motor vehicle to be used for the transportation of persons or property but for which no driver is furnished, and the use of the vehicle is not for the transportation of persons or property for hire by the lessee.	Series contains: Date, application month, u-drive-it permit number, company name and address, year, make, serial number, gross weight, first or renewal registration, fee per vehicle, expiration month and year, payment code, submitted by, total submitted	Agency: 1	Records Center: 3	Archives Center:
				Transfer to the State Records Center after receipt card is issued. Destroy after audit		
84.1	Motor Fuel Trip Permit File Change Date: 12/1/1983			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
75	Cash Receipt Books			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
83	Qualification Permits - (Authority wires)			Agency: 1	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Carriers

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
77	Overweight and Over-dimensional Permit File			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
74	Carrier Tariffs and Rate Schedules			Agency: 3	Records Center:	Archives Center:
				Destroy		
82	Reciprocity Cards			Agency: 2	Records Center:	Archives Center:
				Destroy		
72	Insurance Filing Change Date: 12/1/1983			Agency: 1	Records Center: 4	Archives Center:
				Transfer to the State Records Center		
71	Card File on Qualifications Change Date: 12/1/1983			Agency: 1	Records Center:	Archives Center:
				Destroy three years after becoming inactive		
73	Carriers Annual Financial Report			Agency: 3	Records Center:	Archives Center:
				Destroy		
79	Regular and Irregular Certificate File - (Kentucky Intrastate Carriers)			Agency: 2	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Carriers

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
70	Kentucky Highway Use Licensees Change Date: 12/1/1983		Includes license, bond, tax return, billings, latest audit, correspondence, (lien documents and bankruptcy records if applicable), qualifications folders, and observation reports	Agency: 1	Records Center: 1	Archives Center:
				Purge active file yearly and destroy material over three years old, except latest audit. Transfer to the State		
78	Regular and Irregular Certificate File - (I.C.C. Carriers)			Agency: 2	Records Center:	Archives Center:
				Destroy		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Vehicle Dealer's Board

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
15	License File - (Includes insurance verification and copy of license)			Agency: I	Records Center:	Archives Center:  Destroy three months after dealer's failure to renew annual license

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Vehicle Licensing

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
106	County Court Clerk's Weekly Recapitulation of Motor Vehicle Tax Receipts - (TD96- 177)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
117	Record of Delivery of Plates Issued to County Court Clerks by the Transportation Cabinet - (TD96- 202A) - (Passenger - Trailer)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
91	Inspection of Out-of- State Vehicle - (TD96- 149)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
92	For Sale and Transfer of Registration and Title - (TD96- 150)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
93	Truck Certificate of Apportioned Registration and Title - (TD96- 151)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
95	Record of Passenger and Motorcycle Plates and Certificates Furnished to County Court Clerk - (TD96- 154)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Vehicle Licensing

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
96	Affidavit of Motor Vehicle - (TD96-159)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
97	Record of Truck Plates Furnished to County Clerk - (TD96-160)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
125	Application for Special Legislature Plate - (TD96-220)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
104	County Court Clerk's Weekly Report of Transfer Certificates Issued and Usage Tax Collections - (TD96-175)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
121	Affidavit of Motor Vehicle Built from Abandoned or Junk Vehicles - (TD96-215)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
119	Application for Handicapped Person Special Parking Permit - (TD96-204) - (Individual)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
120	Application for Handicapped Person Special Registration Plate - (TD96-205)			Agency:	Records Center:	Archives Center:
				Destroy after audit		



# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Vehicle Licensing

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
114	Manufacturer's (or Importer's) Statement of Origin of a Motor Vehicle			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
109	Special Certificate - (TD96-187)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
118	Record of Delivery Plates Issued to County Court Clerk by the Transportation Cabinet - (TD96- 202B - (Limited 22,000 to 82,000)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
94	Certificate of Apportioned Registration - (TD96- 152)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
135	Motor Vehicle Registration Tax Collections Recapitulation Sheet - (TD96-350)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
103	Official Certificate of Registration and Title - (TD96- 174)			Agency: 3	Records Center: 4	Archives Center:
				Transfer to the State Records Center		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Vehicle Licensing

Records Title		Function and Use	Contents	Retention		
Series	and Description			Disposition Instruction		
03946	Certificate of Title (V)	This series is created when an owner of a vehicle, mobile home, trailer or boat completes the titling requirements for proof of ownership, as set forth in KRS 186A.010-990. In addition to first-time ownership, a certificate of title is required when ownership of a vehicle is transferred, a vehicle is salvaged or a rebuilt vehicle is purchased (treated as first-time new). Application for title must be made to the county clerk in the county of residence or county of business of the dealer, within 15 days of purchase. Information is entered into the Automated Vehicle Information System (AVIS) (NOS) by the Clerk. AVIS, implemented in September 1983, automates the registration and titling process. All supporting documentation, along with the title application, is forwarded to the Department for processing. A Certificate of Title, pursuant to KRS 186A.170, must be issued to the owner by the Department within five days of receipt, unless discrepancies are noted. All Certificates of Title result from AVIS and are not issued until the vehicle identification number has been checked against the system's listing of stolen vehicles. Information in this series is used by the Department of State Police Auto Theft Bureau, as well as other agencies, for ongoing investigations. NOTE: This series is microfilmed in title number order as it comes from the computer and is security stored with the Public Records Division.	Series contains: Title number; year, make, vehicle identification number, title type, model name, model number, type body, color, number of cylinders, odometer reading, motor number, weight; usage tax paid; previous title number/state; owner's name; date of issue; first lienholder; second lienholder; remarks; and brands	Agency: 5	Records Center:	Archives Center:
				Destroy		
108	Motor Vehicle Manufacturer or Dealer Certificate of Title and Registration - (TD96-184)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
90	Claim for Refund of Motor Vehicle License Fee - (TD96-171)			Agency: 5	Records Center:	Archives Center:
				Destroy after audit		
89	Claim for Refund of Truck License Fee - (TD96-170)			Agency: 5	Records Center:	Archives Center:
				Destroy after audit		
88	Apportioned Registration Tax Payment - (TD96-120)			Agency: 5	Records Center:	Archives Center:
				Destroy after audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Vehicle Licensing

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
04047	International Registration Plan Files - Out-of-State - (Pertains to apportioned registration of commercial vehicles) Change Date: 12/1/1983 Administrative Change Date: 8/1/1991 (To change series number from 134.2)	This series provides supporting documentation for the apportioned registration fees transmitted from states participating in the International Registration Plan to Kentucky, as required in 601 KAR 9:135. The International Registration Plan is an agreement between Kentucky and forty-three states and one foreign jurisdiction, Alberta, Canada, which allows the operators of commercial vehicles to operate in more than one licensing jurisdiction. The apportioned registration fee is based on an estimate of the mileage to be incurred by out-of-state vehicles operating in Kentucky. The registration fees collected by other states are forwarded to Kentucky usually on a monthly basis. NOTE: The type of medium may vary from state-to-state.	Series contains: International Registration Plan number; name and address of carrier; states and mileage traveled; Kentucky's mileage percentage; number of vehicles; vehicle weights; fee rate; total fee due to Kentucky	Agency: 6 months	Records Center: 4.5	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
03947	Certificate of Registration Change Date: 3/13/2003	This series documents motor vehicle title registrations and tax transactions executed by the County Clerks, as required in KRS 186.020. It acts as receipt for fees collected, based on the activities performed by the County Clerk. As registration occurs, updated information is entered into the Automated Vehicle Information System (AVIS) (NOS) and a Certificate of Registration is created. At the end of each week, the County Clerk sends a copy of each registration and a reconciliation report (04037) to the Department. *Rarely referenced after creation.	Series contains: Owner name, address, social security number; decal number; plate number; expiration date; previous plate number; previous decal number; vehicle type; vehicle identification number (VIN); vehicle year; body style; make; title number; date of issue; title fees; registration fees	Agency: 1	Records Center: 2	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
99	Requisition for License Plates - (TD96-164)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
03478	Title Application File For Rebuilt Motor Vehicles - (TD96-215) Change Date: 3/13/2003	This series documents the title application process required to license rebuilt vehicles. It may also document that the vehicles involved carry a "salvage designation". If the vehicle to be licensed carries that designation, the applicant must prove that the vehicle is now repaired and safe for the highway. This is accomplished through the notarized labor statements that must be attached to the application. Once this information is accepted by Transportation personnel, a letter authorizing the County Clerk to remove the salvage designation and create a new title is issued. Since the information involved surrounds rebuilt vehicles, it can be used to trace stolen vehicles or parts taken from stolen vehicles. This information may also be used by the Kentucky State Police for investigative use.	Series contains: Correspondence; salvage title; odometer reading; letter of authorization to Clerk; application for title; notarized labor statements	Agency: 15	Records Center:	Archives Center:
				Destroy after audit		

# STATE AGENCY RECORDS RETENTION SCHEDULE

Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Vehicle Licensing

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
100	Application for Conversion of Classification - (TD96-168)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
03945	Title Application File - (May Include application for title, out-of-state title, court orders, assignment forms) Change Date: 3/13/2003 (V)	This series documents the activities which result in the issuance of Certificates of Title (03946) to vehicles, motor homes, boats and trailers, as required in KRS 186A.010-990. Applications for titles are made to the County Clerk in the county of residence of the purchaser or in the county of purchase, within 15 days of purchase. Application information is entered by the Clerk into the Automated Vehicle Information System (AVIS) (NOS). AVIS, implemented in September 1983, automates the registration and titling process. The application for title and any other supporting documentation is then forwarded to the Department for review and issuance of the title. All titles are to be issued within five days of receipt by the Department, unless discrepancies are noted. NOTE: This series is routinely microfilmed by the Public Records Division before the review process begins. Destruction of hard copy occurs after security storage with the PRD.	Series contains: One or more title applications; one or more previous titles; assignment forms; powers of attorney; court orders; affidavits; out-of-state titles; and support documents	Agency: 15	Records Center:	Archives Center:
				Destroy after audit		
04046	International Registration Plan Files - Kentucky - (Pertains to apportioned registration of commercial vehicles) Change Date: 12/1/1983 Administrative Change Date: 8/1/1991 (To change series number from 134.1)	This series documents the apportioned registration of Kentucky-based commercial vehicles under the articles of the International Registration Plan, as required in 601 KAR 9:135. The International Registration Plan is an agreement between Kentucky and forty-three states and one foreign jurisdiction, Alberta, Canada, which allows the operators of commercial vehicles to operate in more than one licensing jurisdiction. The apportioned registration fee is based on an estimate of the mileage to be incurred while vehicles are operating out of state, as well as in Kentucky. The registration fees collected on Kentucky-based carriers are sent to the participating state(s) on a monthly basis.	Series contains: International Registration Plan number; name and address of carrier; state and mileage traveled; number of vehicles; vehicle weights; fee rate; total fee due to participating state	Agency: 3	Records Center: 2	Archives Center:
				Transfer to the State Records Center after audit		
87	County Clerk's Correction of Documents - (TD96-194)			Agency: 1	Records Center:	Archives Center:
				Destroy when correction is complete		

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Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Vehicle Licensing

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
86	Historic Motor Vehicle - (TD96-203) - (Not retained by County Clerk)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
85	Application for Registration of Historic Motor Vehicles - (TD96-206) - (TD96-206)			Agency: P	Records Center:	Archives Center:
				Retain in agency		
03480	Authorization For Removal and Reattachment of Vehicle Identification Number Change Date: 3/13/2003	This series is used to document that a person has taken main car body parts (at least 75%) off of a vehicle and placed them on another vehicle. Under the terms of KRS 186A.315, the person must ask for permission to remove the vehicle identification number (VIN) from one vehicle and place it on another. Notarized statements as to the actions are submitted to the Title Branch and after verification of the VINs involved (check for stolen status), this action is allowed to occur. The Title Branch sends this authorization to the County Clerk involved so that a new title can be issued. Since this information involves the use of major car parts which may later be identified as stolen, it is used in the continuing investigation of stolen vehicles.	Series contains: Notarized statement from individual or business; copies of titles; receipts for replacement parts	Agency: 15	Records Center:	Archives Center:
				Destroy		
03479	Application File For Motor or Vehicle Identification Number - (TC96-169) Change Date: 3/13/2003	This series documents application for the replacement of a stolen or lost vehicle identification number (VIN) or motor number. Under the terms of KRS 186A.090, a vehicle without a proper VIN must be registered with the Department of Vehicle Regulation and the owner must make application to have a VIN assigned to said vehicle. To complete the process, the applicant must submit proof of ownership, a copy of the title to said vehicle, and a notarized statement as to why there is no serial or VIN. Once the information is verified by Transportation, a statement is issued to the appropriate County Clerk involved to allow the vehicle to be licensed under the new VIN. Since this information surrounds possible stolen VINs, it is used in the continuing investigation of stolen vehicles by the Kentucky State Police.	Series contains: Notarized application; proof of ownership such as bill of sale; title; registration; affidavit or notarized statement as to why there is no serial or vehicle identification number; new vehicle identification number assigned; authorization correspondence to County Clerk	Agency: 15	Records Center:	Archives Center:
				Destroy after audit		

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Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Vehicle Licensing

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
04037	Motor Vehicle Title and Registration County Clerk Fee and Tax Remittance Report - (AVIS Printout) Administrative Change Date: 7/1/1991 (To change series number from 105)	This series documents all vehicles titled and registered by the County Clerk's Offices during each week. In addition, it documents all fees (state and county clerk's) and usage tax for each type of title and registration transaction, and reflects all inventory (plates, decals, and title numbers) issued during the report week. The report is produced from the Automated Vehicle Information System (AVIS) and may be printed by generated control number, plate number, decal number and title number. The report has four components: Report #1 is the detail report; Report #2 is the summary of all fees by week; Report #3 is the Clerk's manual corrections; and Report #4 is the state and clerk's fees totaled by registration type and total fee paid to the State.	Series contains: Report #1 - lists each transaction by generated control number, associated plate number, decal number (if applicable), title number (if applicable), state fees collected, clerk's fees collected, usage tax collected, plates, decals, and titles sold during the report week; Report #2 - contains a summary of all fees collected by week; Report #3 - contains a rundown of the clerk's manual corrections; Report #4 - contains state and clerk fees totaled by registration type and the total fee paid to the State	Agency: 1 month	Records Center: 2.11	Archives Center:
				Transfer to the State Records Center. Destroy after audit		
116	Requisition for Motor Vehicle Registration Supplies - (TD96-200)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
130	Correction Notice - Registration Fees - (TD96-226)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
129	Record of Delivery of Decals (Tags) - (TD96-225)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
128	Form Letter for Personalized License Plate Applicants - (TD96-224)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		

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Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Vehicle Licensing

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
127	Motor Vehicle Bill of Sale Usage Tax Return - (TD96- 222)			Agency: 3	Records Center:	Archives Center: 4
				Transfer to the State Records Center		
126	Application for Special License Judiciary Plate - (TD96- 221)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
124	Application for Special Amateur Radio Operator License Plate - (TD96- 219)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
98	Kentucky Motor Vehicle Registration - (TD96-162)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
122	Application for Disabled Veterans Free Certificate of Title and Registration and License Plates - (TD96-217)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
131	Notification to County Clerk of Missing Transportation Certificate Copies - (MVT-227)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		

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Transportation Cabinet  
Vehicle Regulation, Department of  
Motor Vehicle Licensing

Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
115	County Court Clerk's Weekly Report of Sale and Transfer of Registration and Ownership Certificate Issued and Usage Tax Collections - (TD96-197)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
113	Affidavit Supporting Repossession and Disposition of a Vehicle - (TD96- 192)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
112	Affidavit Supporting Vehicle License Applications - (TD96- 191)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
111	Summary of Plates Issued by County Clerk - (TD96-100) (Page 1 and 2)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
110	Shipping Order to Metal Stamping Plant - (TD96- 189)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
107	Report of Duplicate Dealer Plates to County Court Clerks - (TD96-178)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		



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Series	Records Title and Description	Function and Use	Contents	Retention		
				Disposition Instruction		
102	Report to Auto Theft on Lost or Stolen Plate - (TD96- 172)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		
123	Application for Personalized License Plates - (TD96- 218)			Agency: 3	Records Center:	Archives Center:
				Destroy after audit		